

Summary of the Numu Disappearance Results from the NOvA Experiment



Michael Baird
for the NOvA Collaboration
Monday, 07/31/17

Neutrino Oscillations:

Neutrino Mixing:

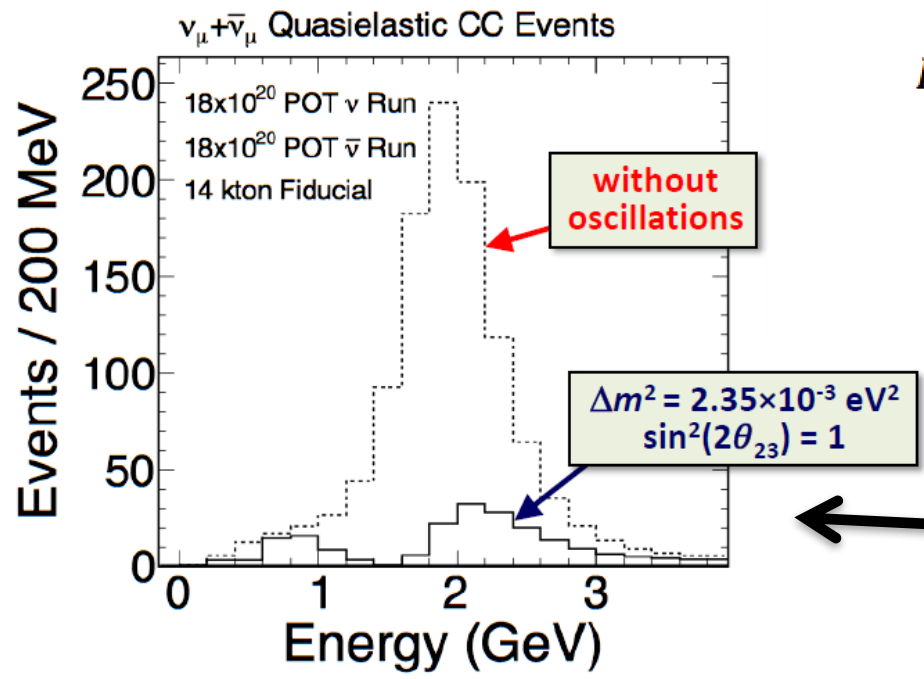
$$\begin{pmatrix} \nu_e \\ \nu_\mu \\ \nu_\tau \end{pmatrix} = \begin{bmatrix} 1 & 0 & 0 \\ 0 & C_{23} & S_{23} \\ 0 & -S_{23} & C_{23} \end{bmatrix} \begin{bmatrix} C_{13} & 0 & S_{13}e^{-i\delta} \\ 0 & 1 & 0 \\ -S_{13}e^{i\delta} & 0 & C_{13} \end{bmatrix} \begin{bmatrix} C_{12} & S_{12} & 0 \\ -S_{12} & C_{12} & 0 \\ 0 & 0 & 1 \end{bmatrix} \begin{pmatrix} \nu_1 \\ \nu_2 \\ \nu_3 \end{pmatrix}$$

$$S_{ij} \equiv \text{Sin}(\theta_{ij}) \quad C_{ij} \equiv \text{Cos}(\theta_{ij})$$

ν_μ survival probability:

$$P(\nu_\mu \rightarrow \nu_\mu) \approx 1 - \sin^2(2\theta_{23})\sin^2\left(\frac{1.27\Delta m_{32}^2 L}{E}\right)$$

$$\Delta m_{ij}^2 \equiv m_i^2 - m_j^2$$



(expected NOvA Far Detector ν_μ CC spectra)

Neutrino Oscillations:

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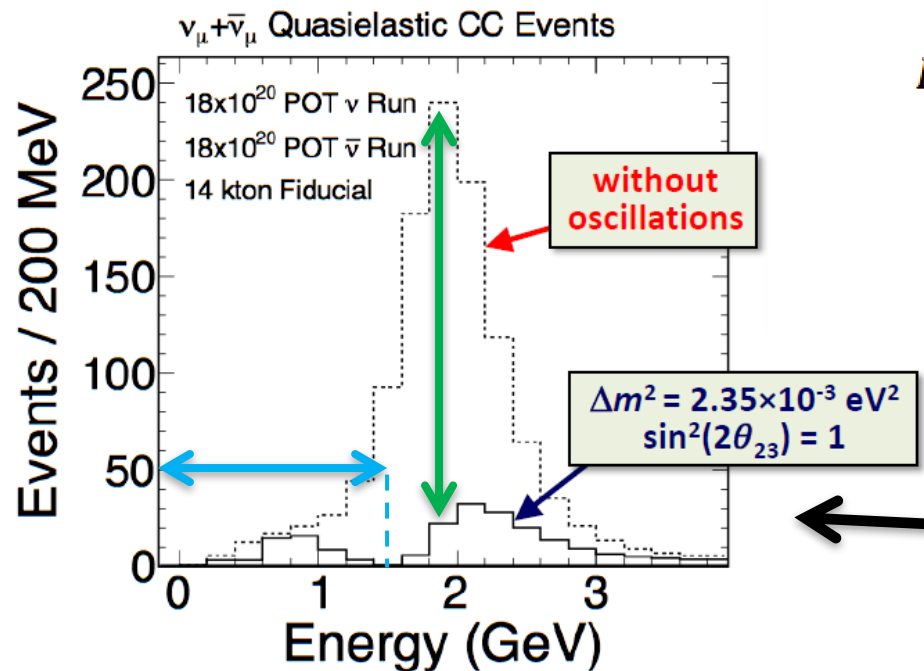
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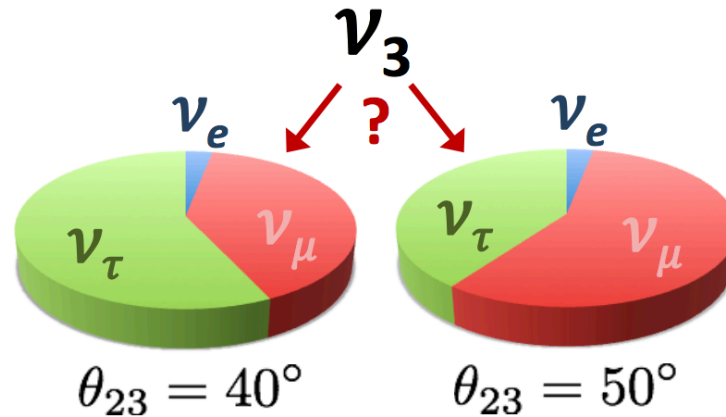
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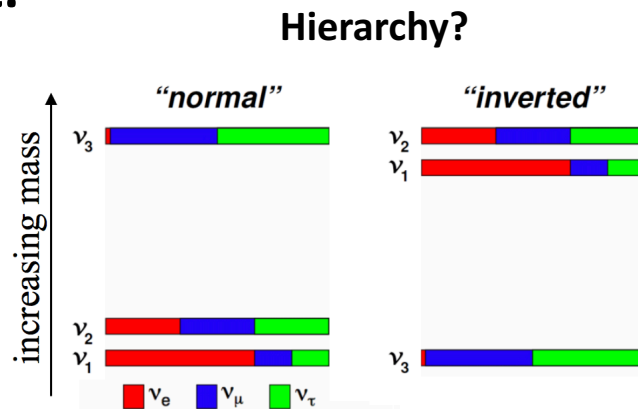
(expected NOvA Far Detector ν_μ CC spectra)

Motivation for a Numu Disappearance Measurement:

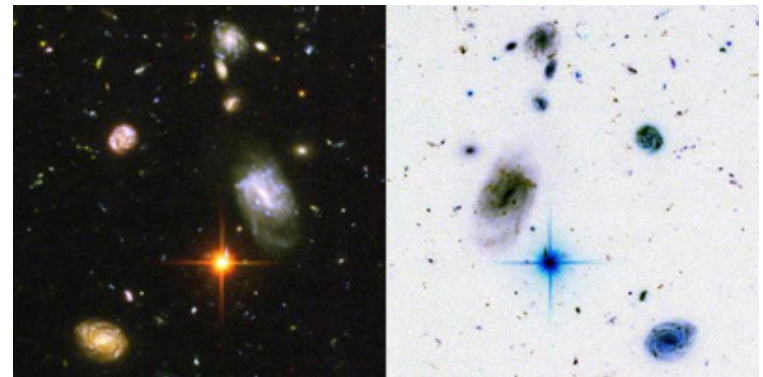
1. A precision measurement of θ_{23} can help determine the correct texture for the PMNS matrix.



2. An accurate measurement of θ_{23} improves our ν_e appearance measurement.



δ_{CP} ?



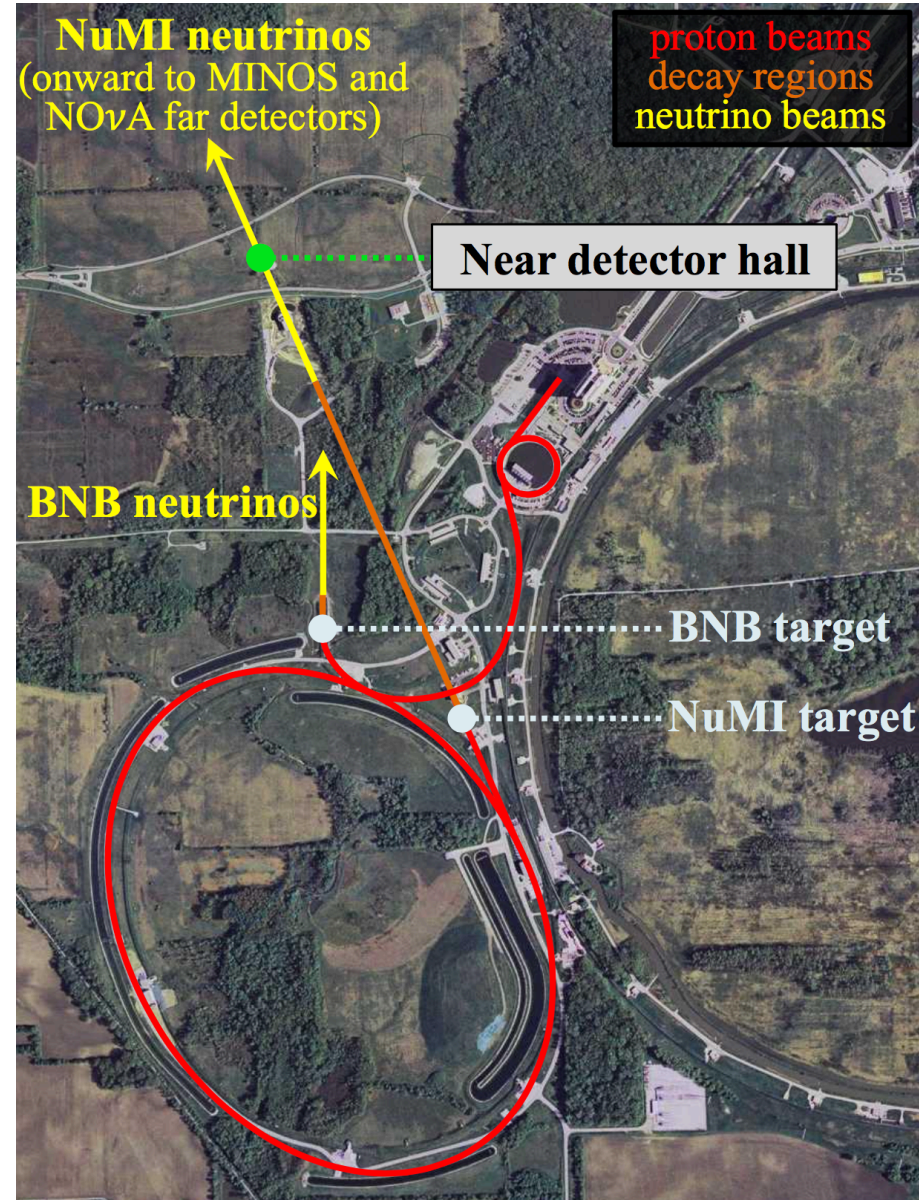
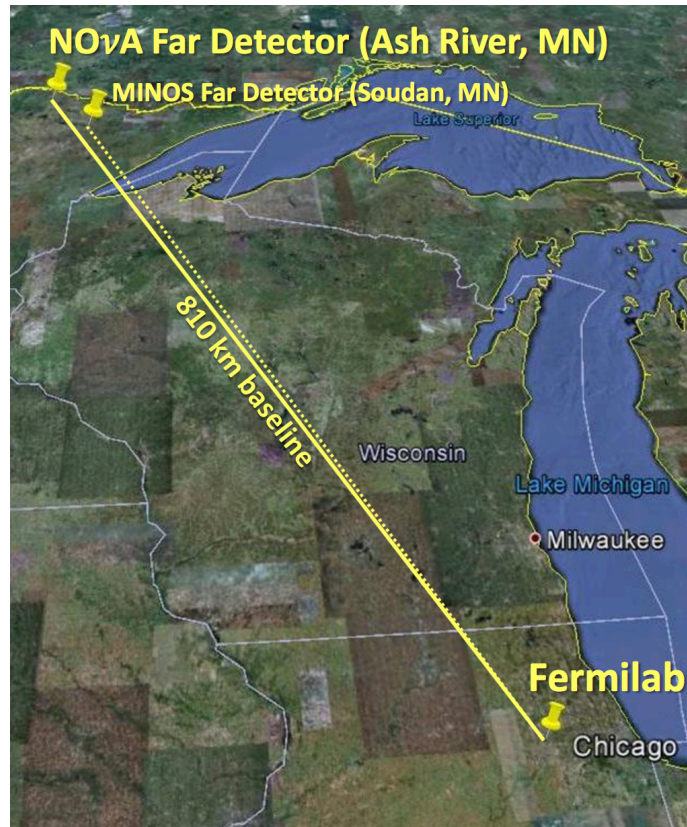
This talk:

- ν_μ Disappearance Results – first presented at Nu2016
[Phys. Rev. Lett. 118, no. 15, 151802 \(2017\)](#)

The NOvA Experiment: NuMI Beam

NuMI - Neutrinos at the Main Injector

- provides a 10 μ sec pulse every 1.33 sec
- beam is roughly 98% ν_μ

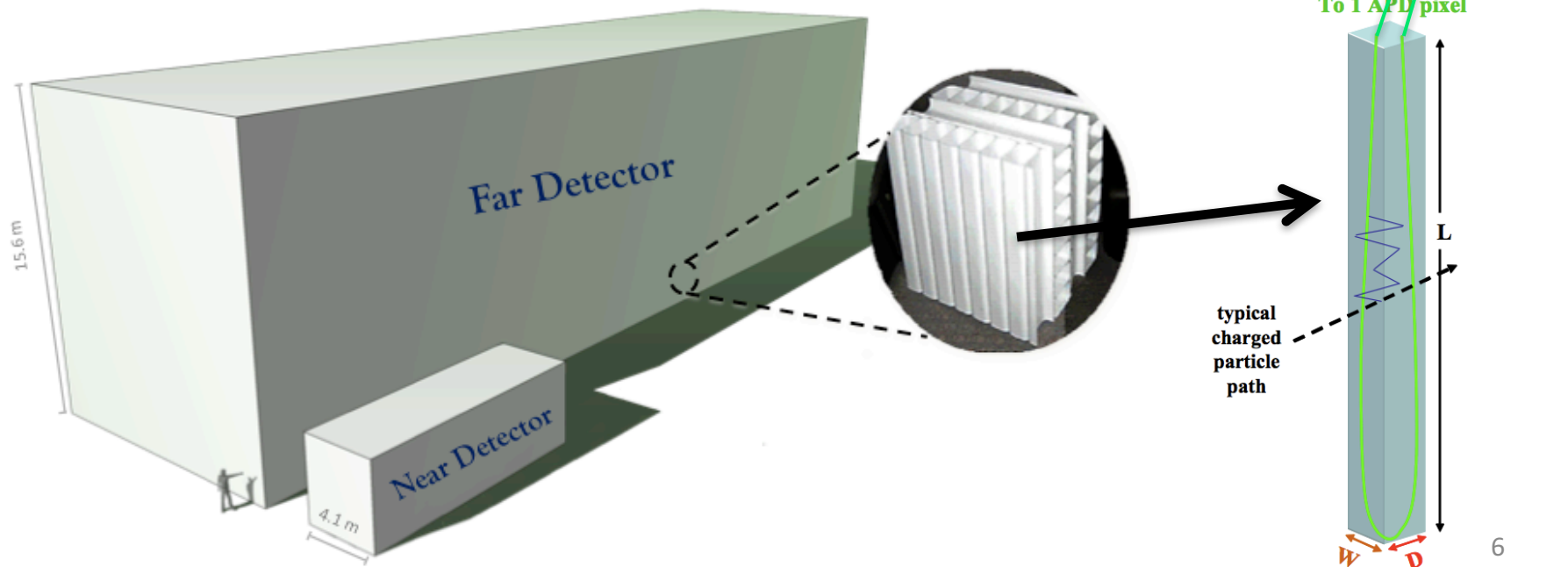


The NOvA Experiment: Detectors

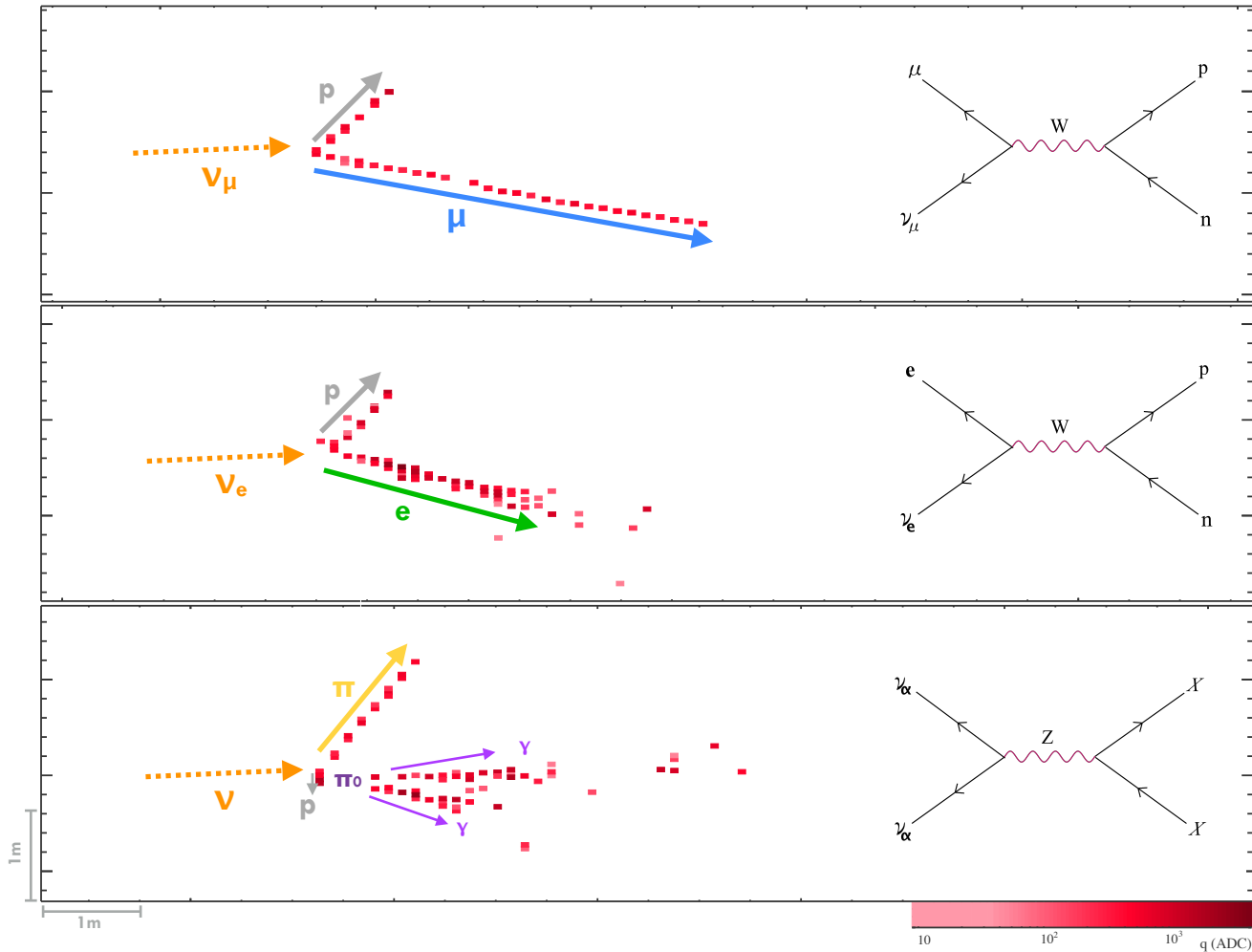
Two functionally identical detectors:

extruded PVC, mineral oil as scintillator, avalanche photo-diodes for light collection

- **Near:** 300 ton, 1 km from source, 105 m underground
- **Far:** 14 kton, 810 km from source, on the surface

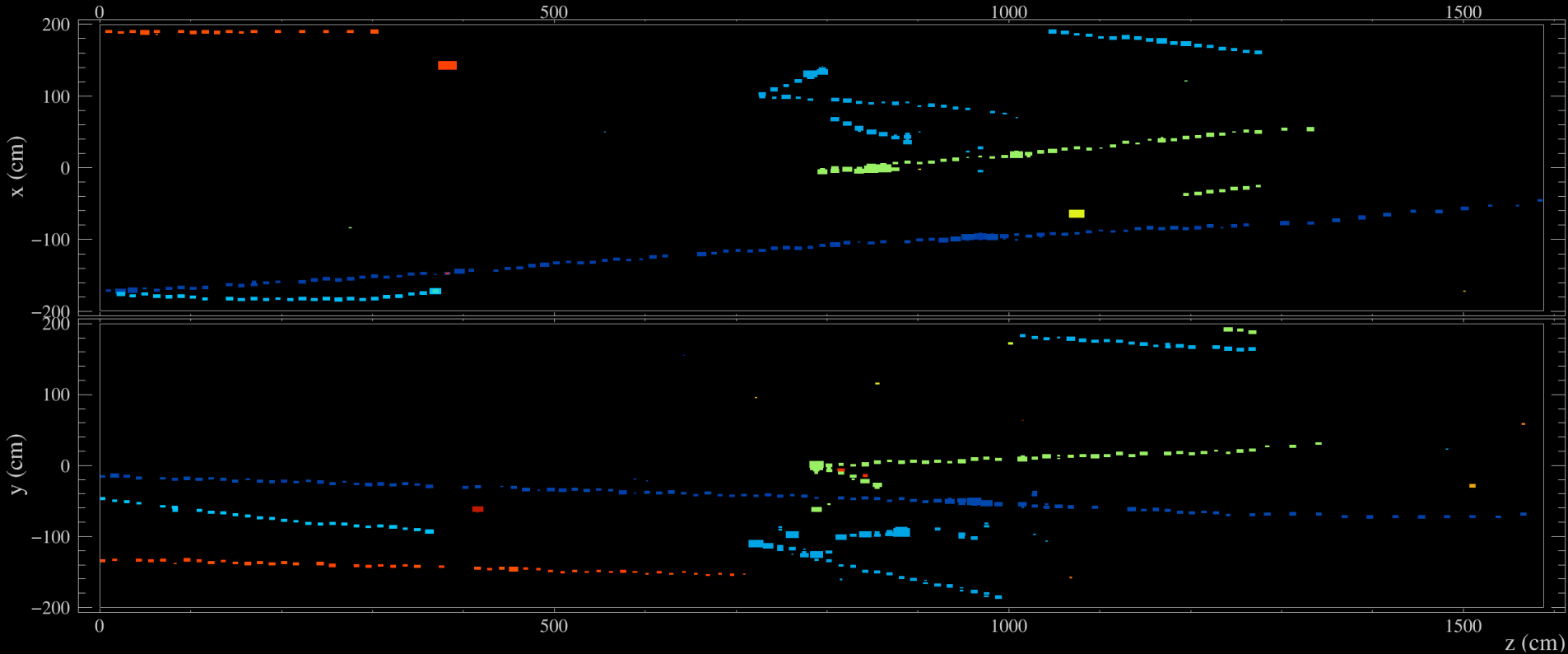


The NOvA Experiment: Detectors



- NOvA is a highly active tracking calorimeter.
- The detectors are designed with low-Z materials (mineral oil and PVC) so as to enhance the differences between muon tracks, showers caused by electrons, and showers caused by pi-zeros.
 - Moliere radius = 11 cm
 - EM radiation length = 40 cm

Near Detector Event Display



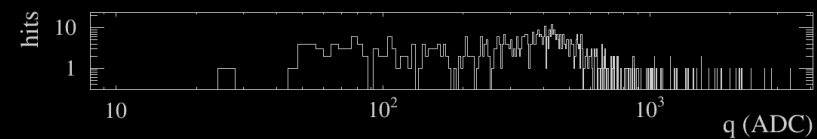
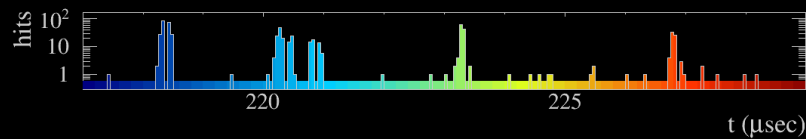
NOvA - FNAL E929

Run: 10407 / 1

Event: 27950 / --

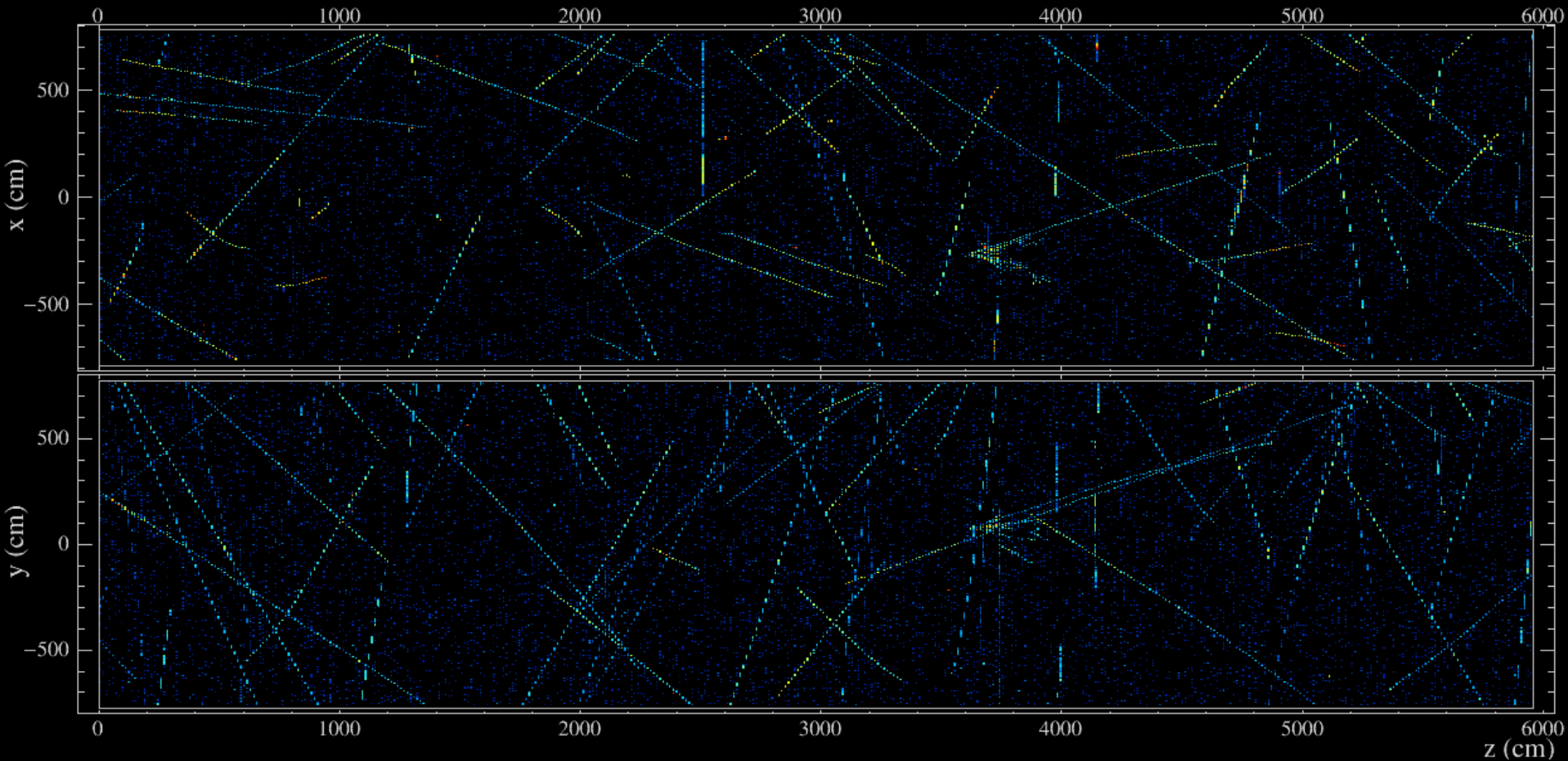
UTC Thu Sep 4, 2014

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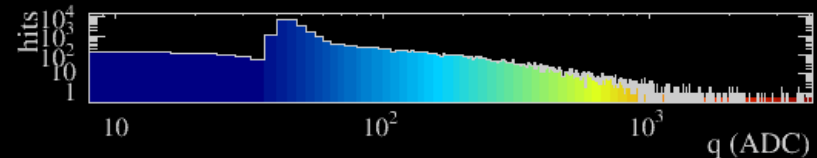
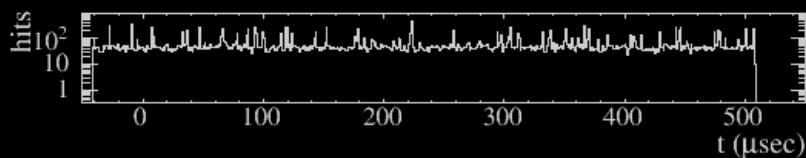
Far Detector Event Display



NOvA - FNAL E929

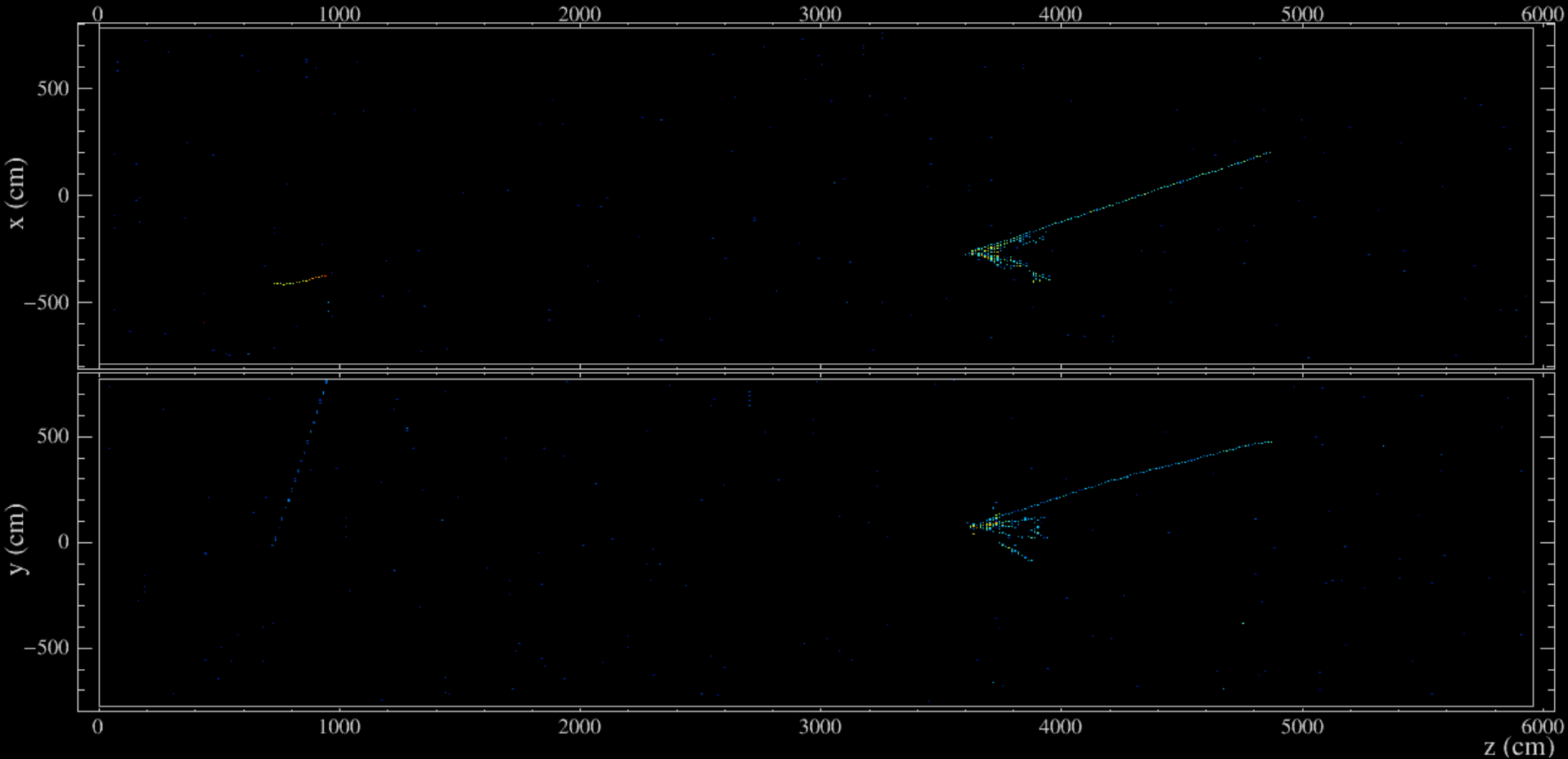
Run: 18620 / 13
Event: 178402 / --

UTC Fri Jan 9, 2015
00:13:53.087341608



(colors show charge)

Far Detector Event Display



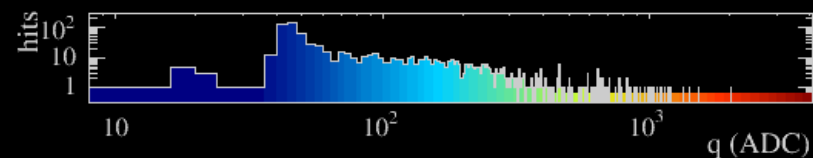
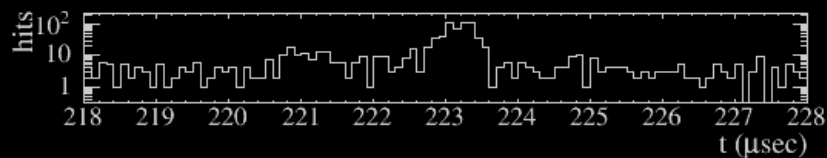
NOvA - FNAL E929

Run: 18620 / 13

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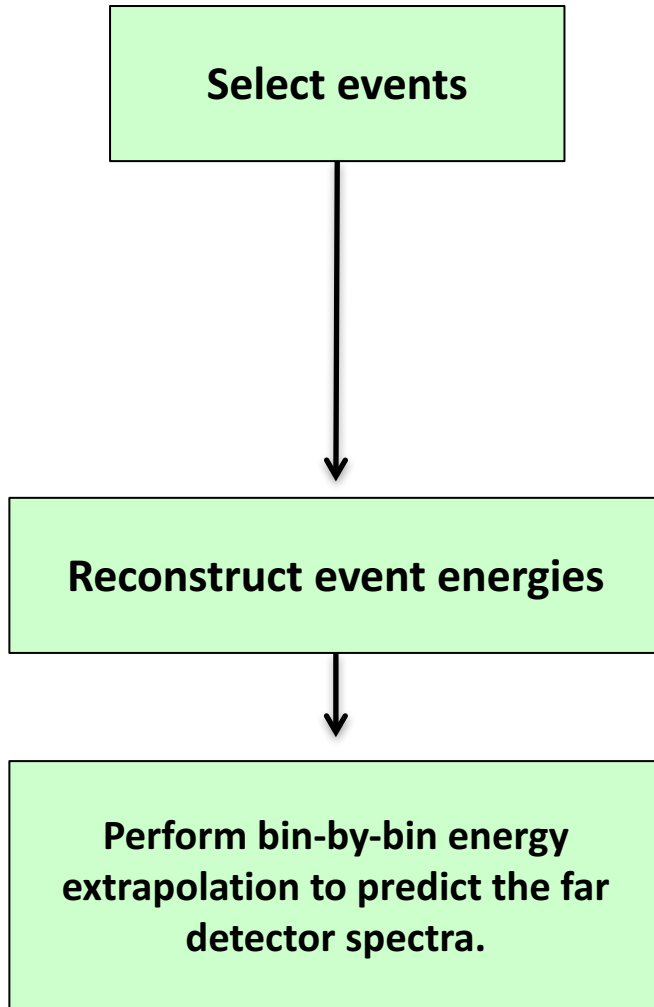


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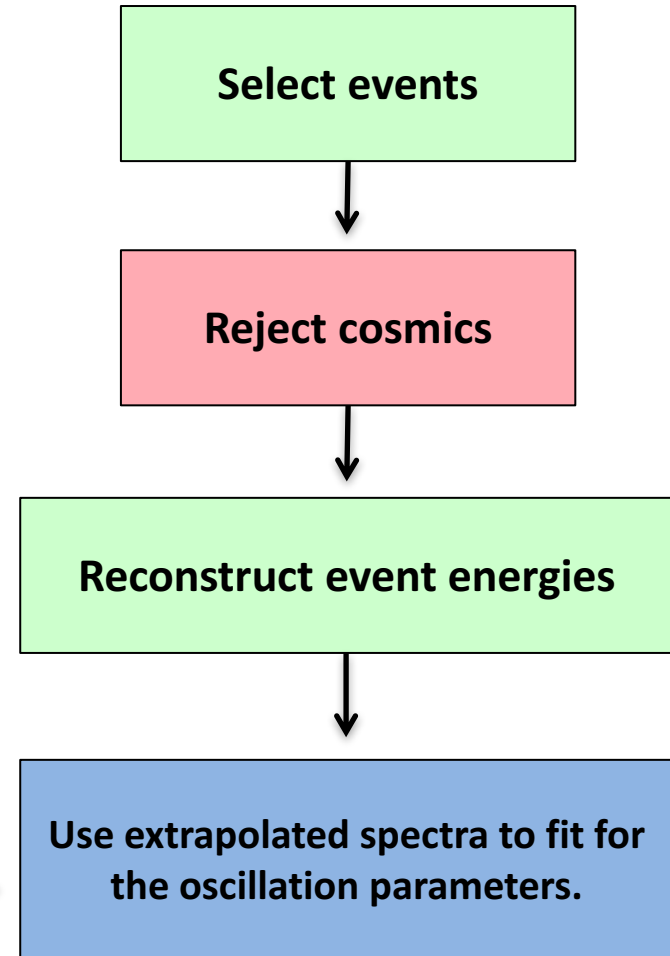
zoomed in on beam window

ν_μ Disappearance Analysis Outline:

Near Detector:

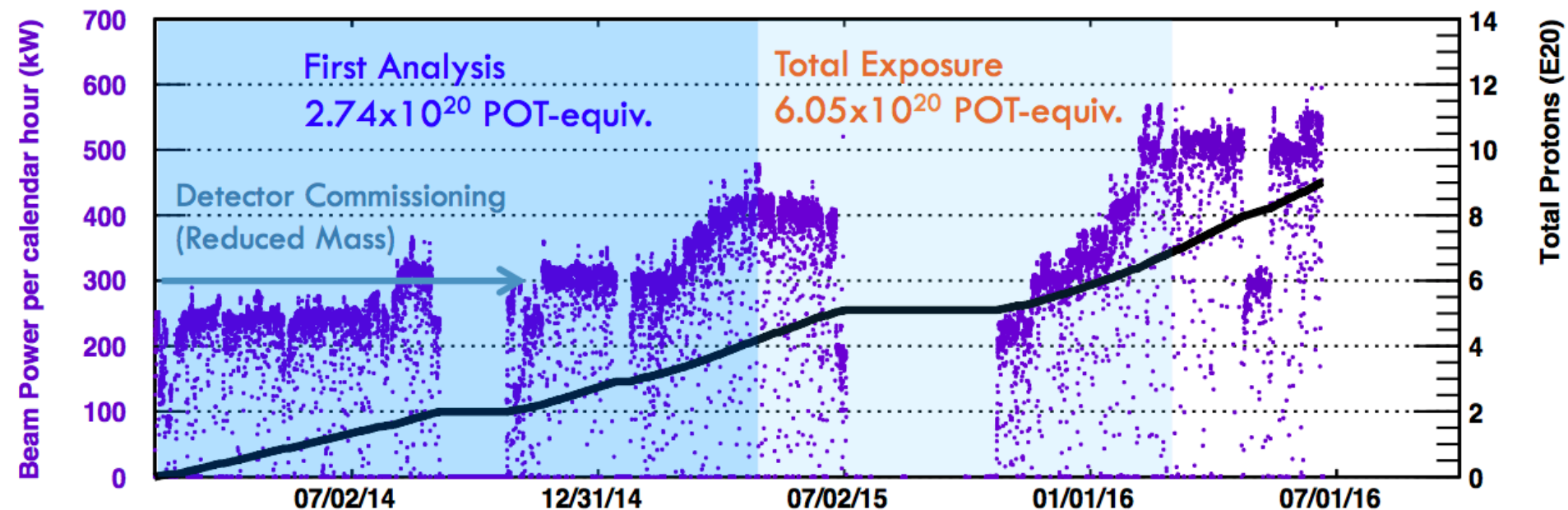


Far Detector:



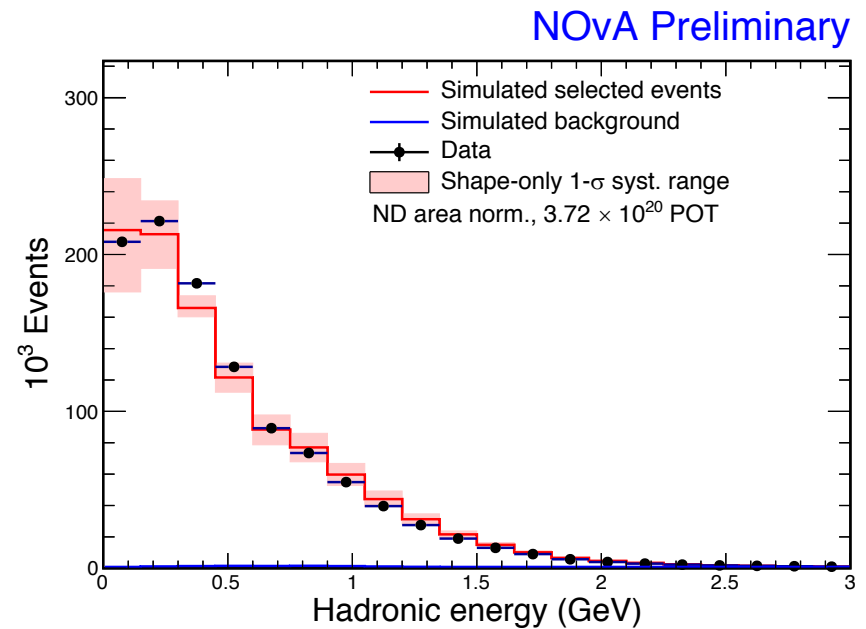
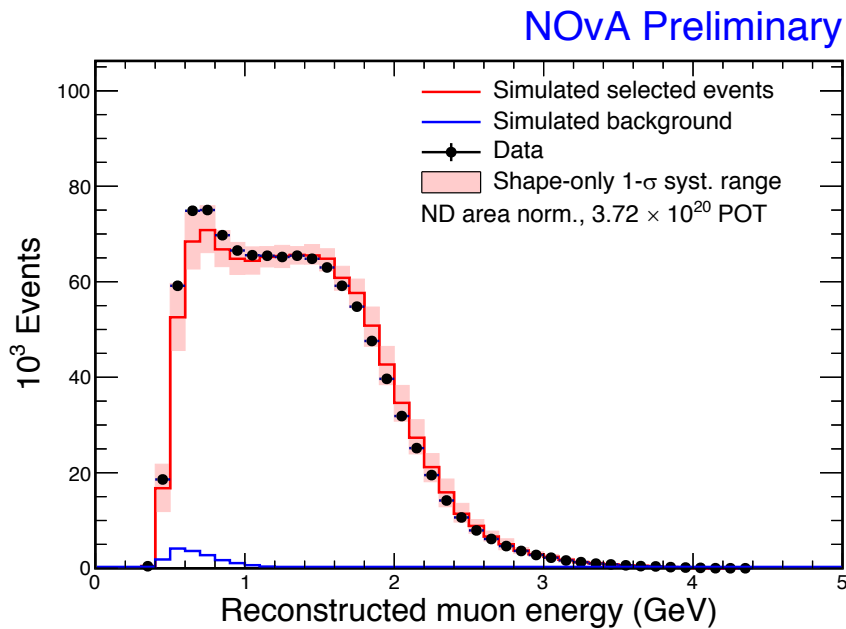
NOvA Data Collection:

- Feb 6th 2014 – May 2nd 2016, equivalent to 6.05×10^{20} POT (in a full 14 kT detector.)
- See Diana Mendez's talk (next) for improvements in the next analysis with data taken since May 2nd 2016.
- **The NuMI beam has now reached the 700 kW design goal, making it the most powerful neutrino beam in the world!**



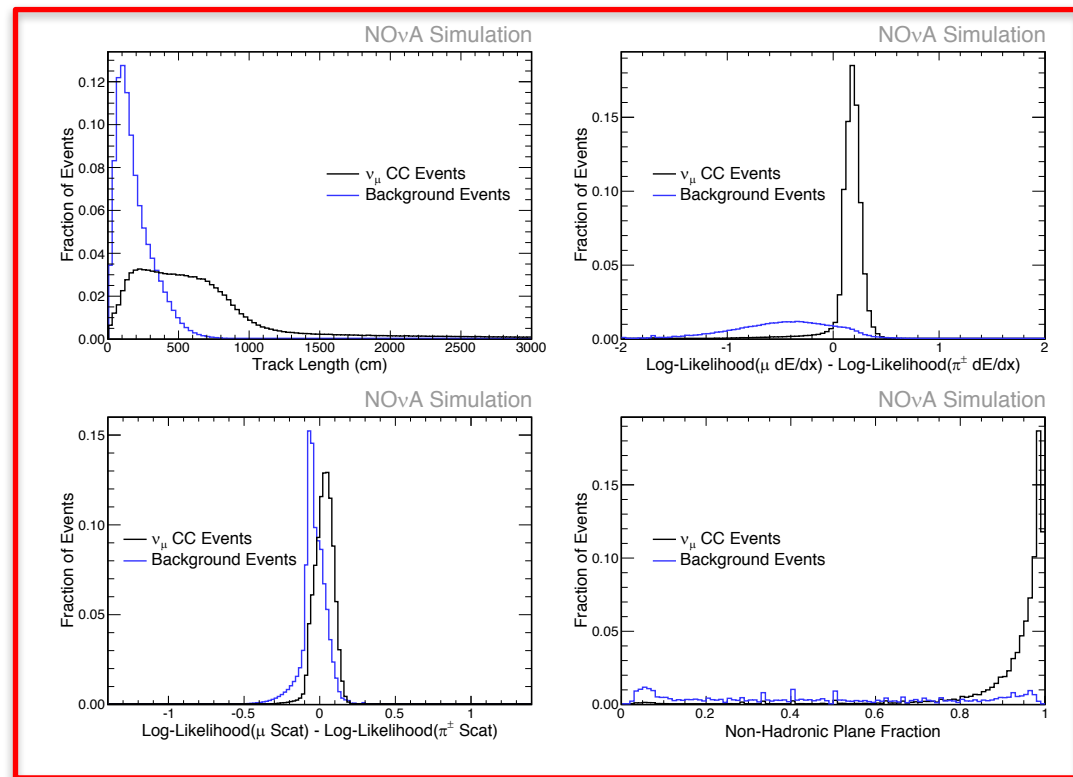
NOvA Simulation Tuning:

- Analysis of the NOvA ND data suggested an additional event rate and alteration of the kinematic distributions arising in neutrino scattering on nuclei.
- DIS events with $W < 1.7$ GeV were weighted down by 35%.
- We enabled an empirical Meson Exchange Current (MEC) model within GENIE, and reweighted those events as a function of 3-momentum transfer.

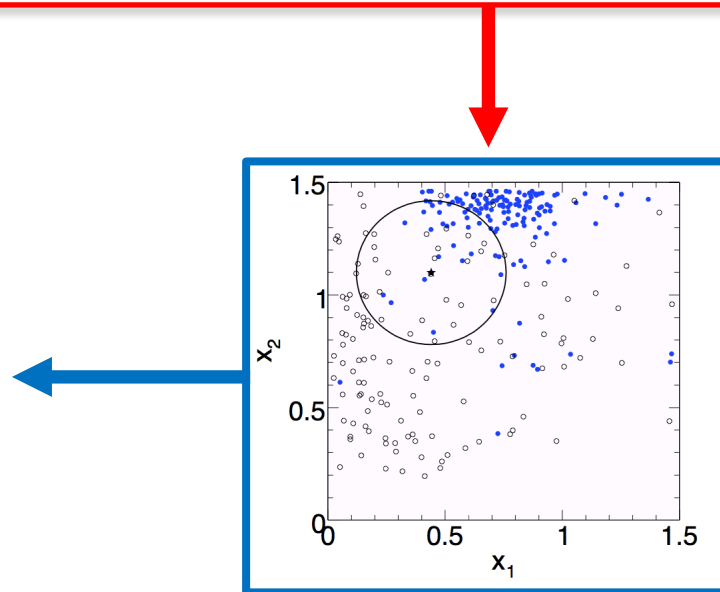
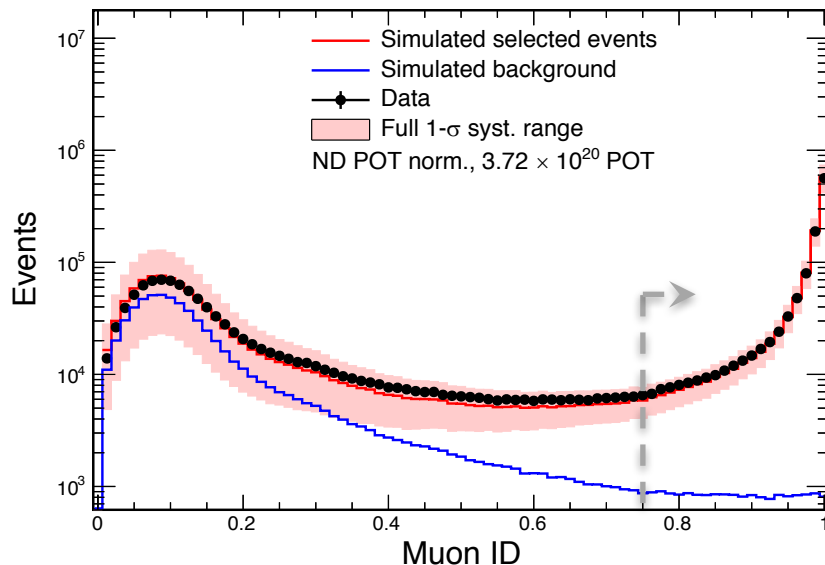


Event Selection:

- Choose ν_μ CC events with a traditional kNN.
- Using 4 reconstructed track variables as input.
- See talk by F.Psihas Wed. 08/02 11:10 am on advancements in event selection.

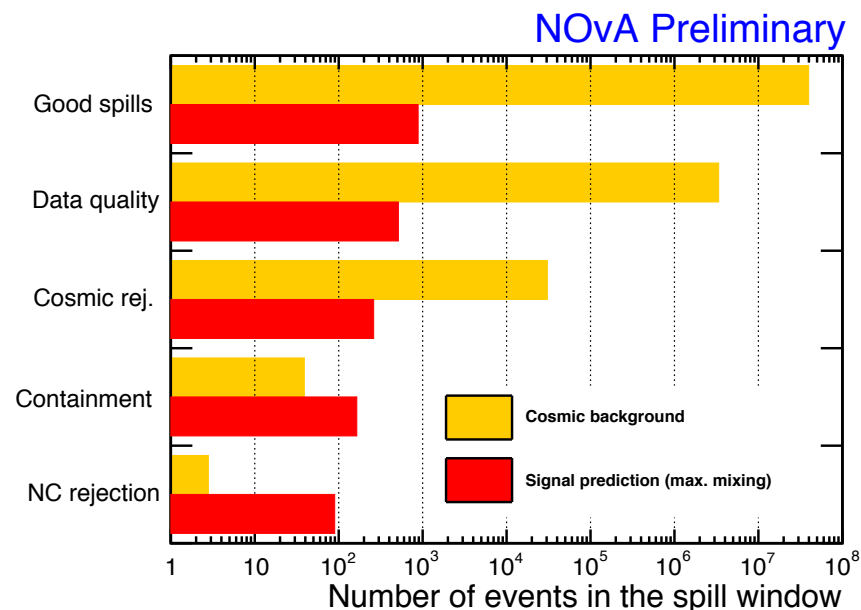
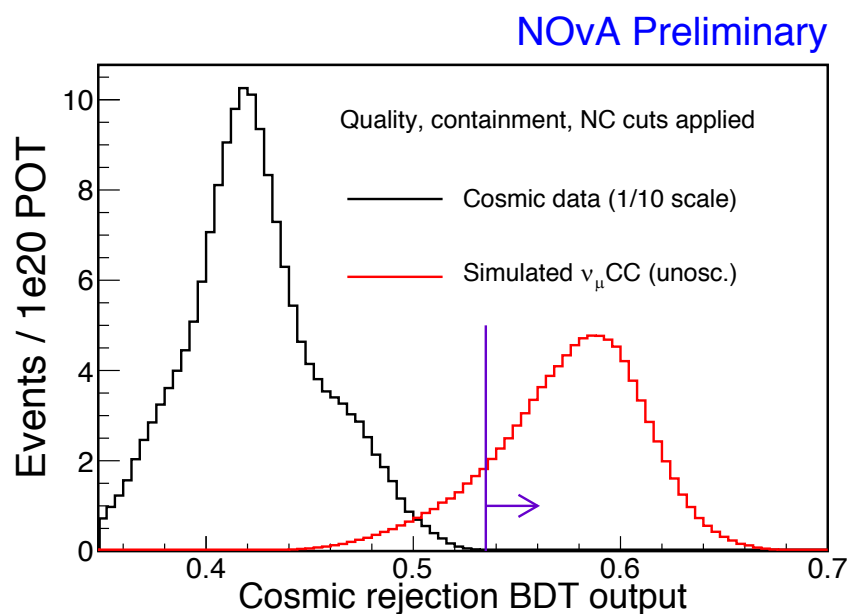


NOvA Preliminary



Far Detector Cosmic Rejection:

- We expect $\sim 65,000$ cosmic rays in-time with the NuMI beam spills per day. The expected number of contained ν_μ CC events per day is only a few.
- Containment cuts will remove 99% of the cosmics.
- We use a boosted-decision-tree (BDT) algorithm that takes input from reconstruction variables to reject the remaining cosmics.



All cuts together give us $> 15:1$ s:b.

Cosmics are reduced by 10^7 !

Energy Estimation:

Reconstructed muon track:

$$\text{length} \Rightarrow E_{\mu}$$

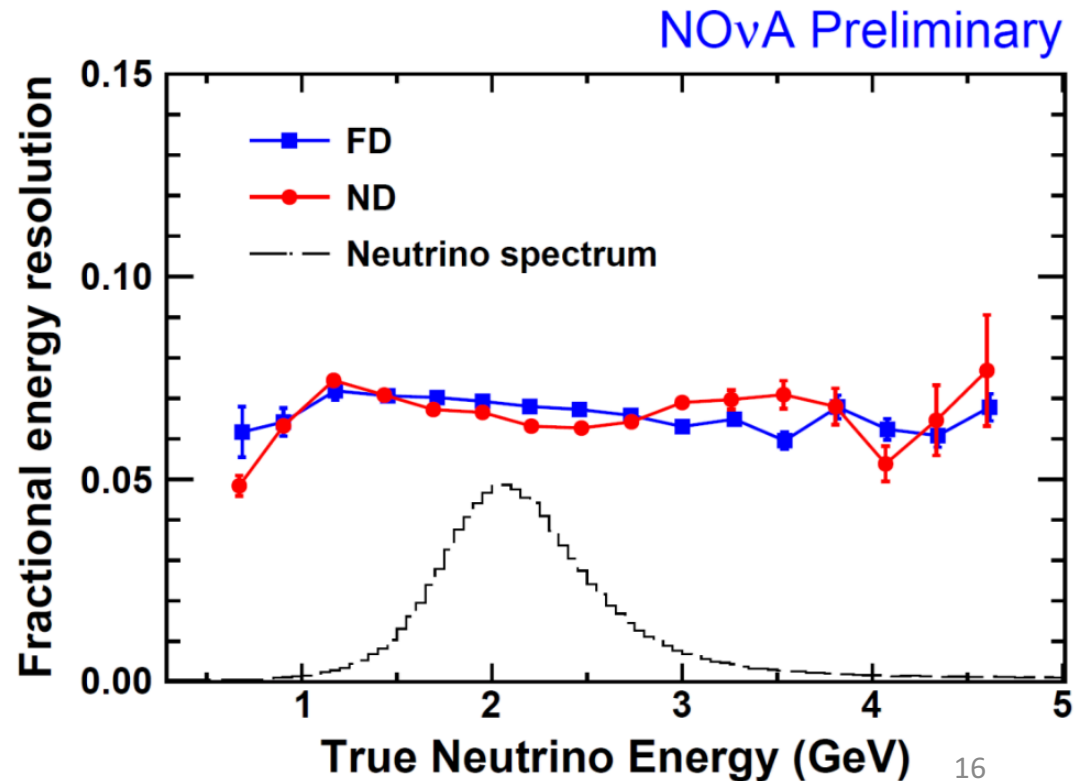
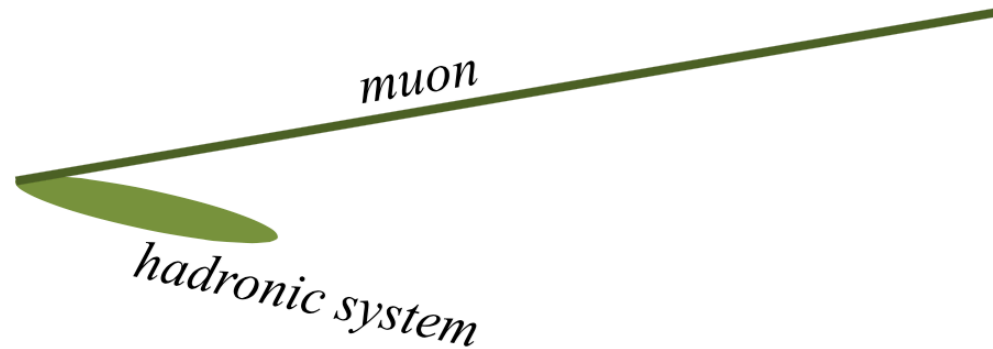
Hadronic system:

$$\sum_{\text{cells}} E_{\text{visible}} \Rightarrow E_{\text{had}}$$

Reconstructed ν_{μ} energy is the sum of these two:

$$E_{\nu} = E_{\mu} + E_{\text{had}}$$

Energy resolution at beam peak $\sim 7\%$



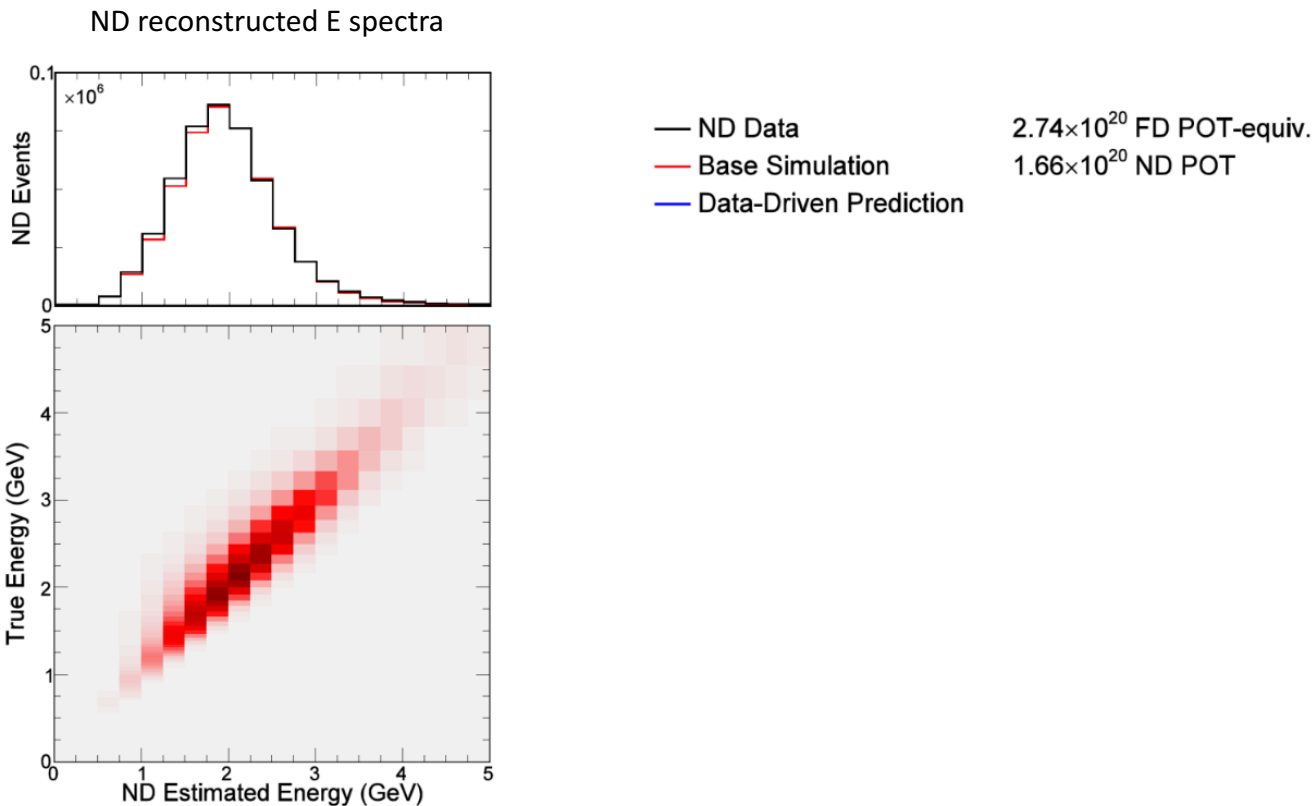
Far Detector Prediction:

The far detector prediction is generated using a near to far extrapolation process.



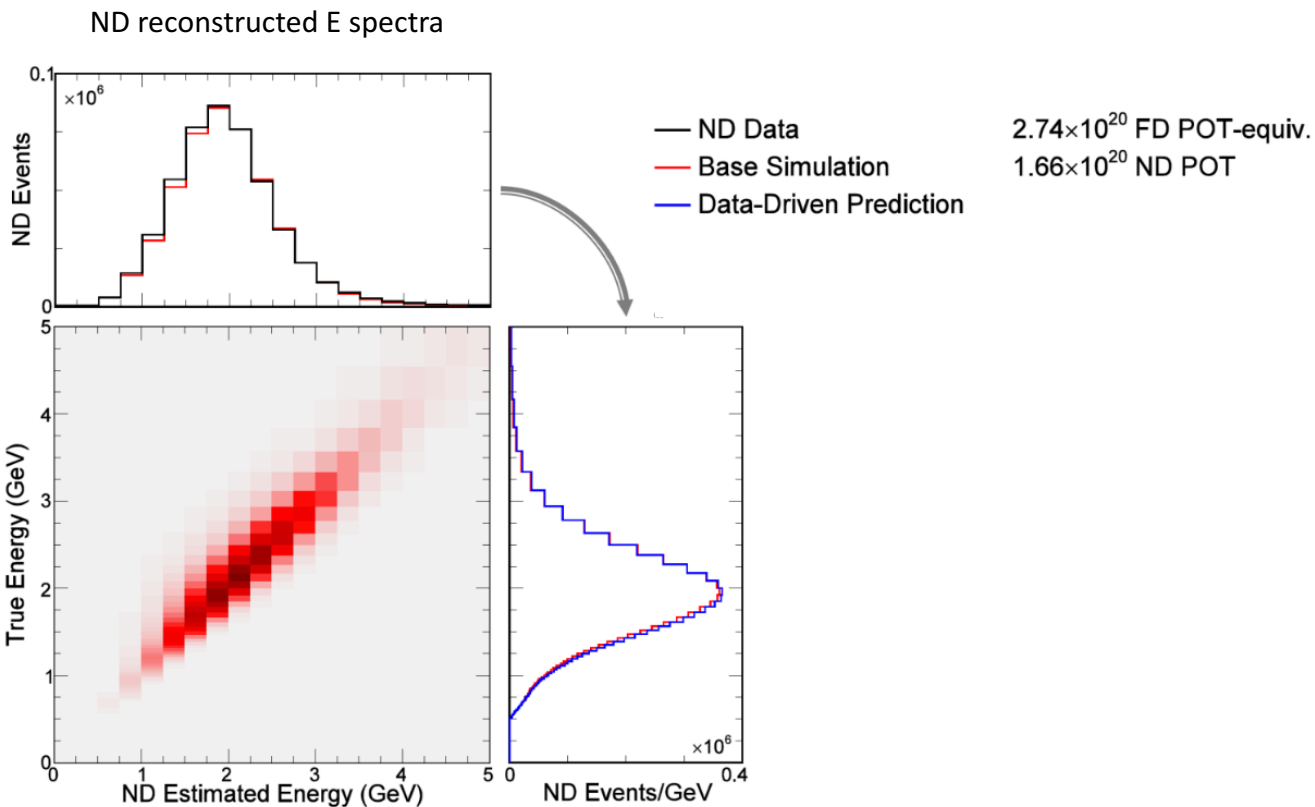
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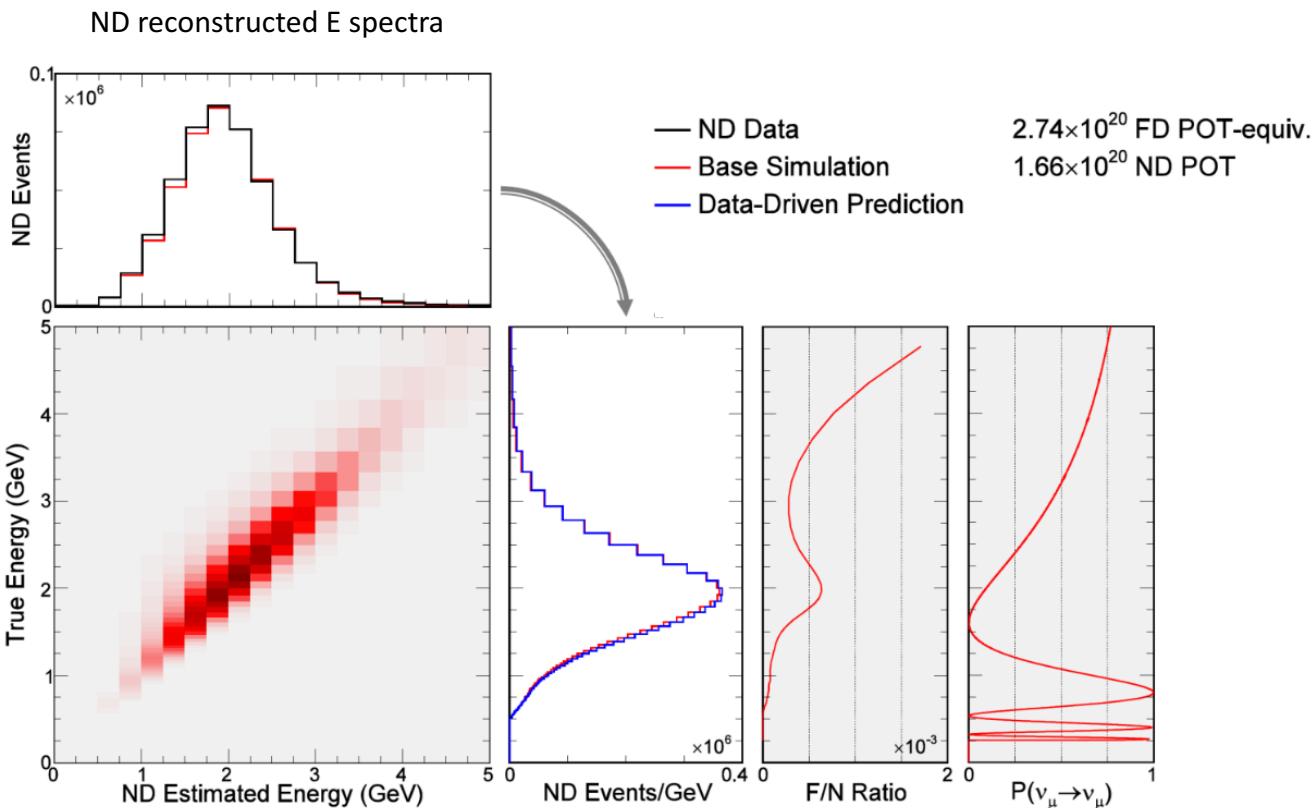
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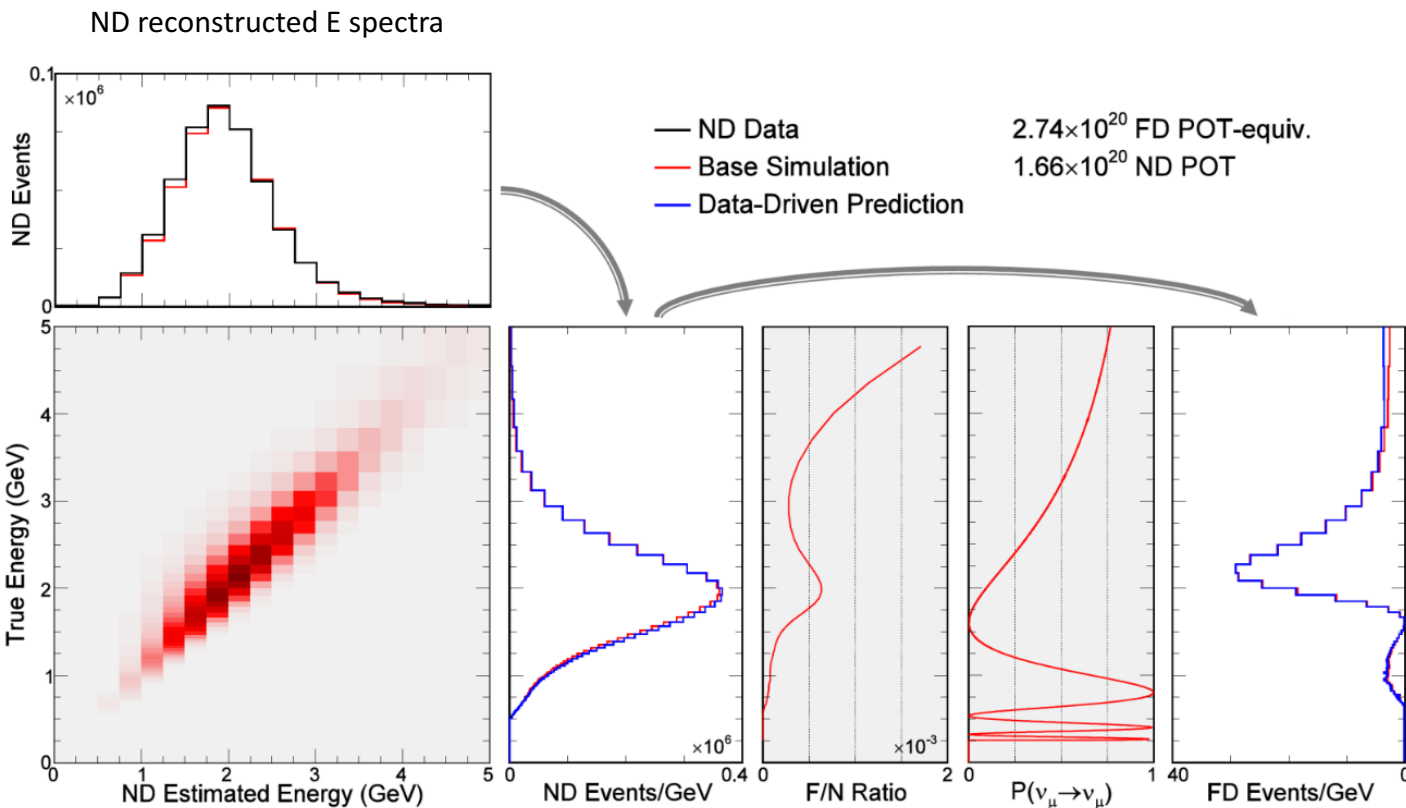
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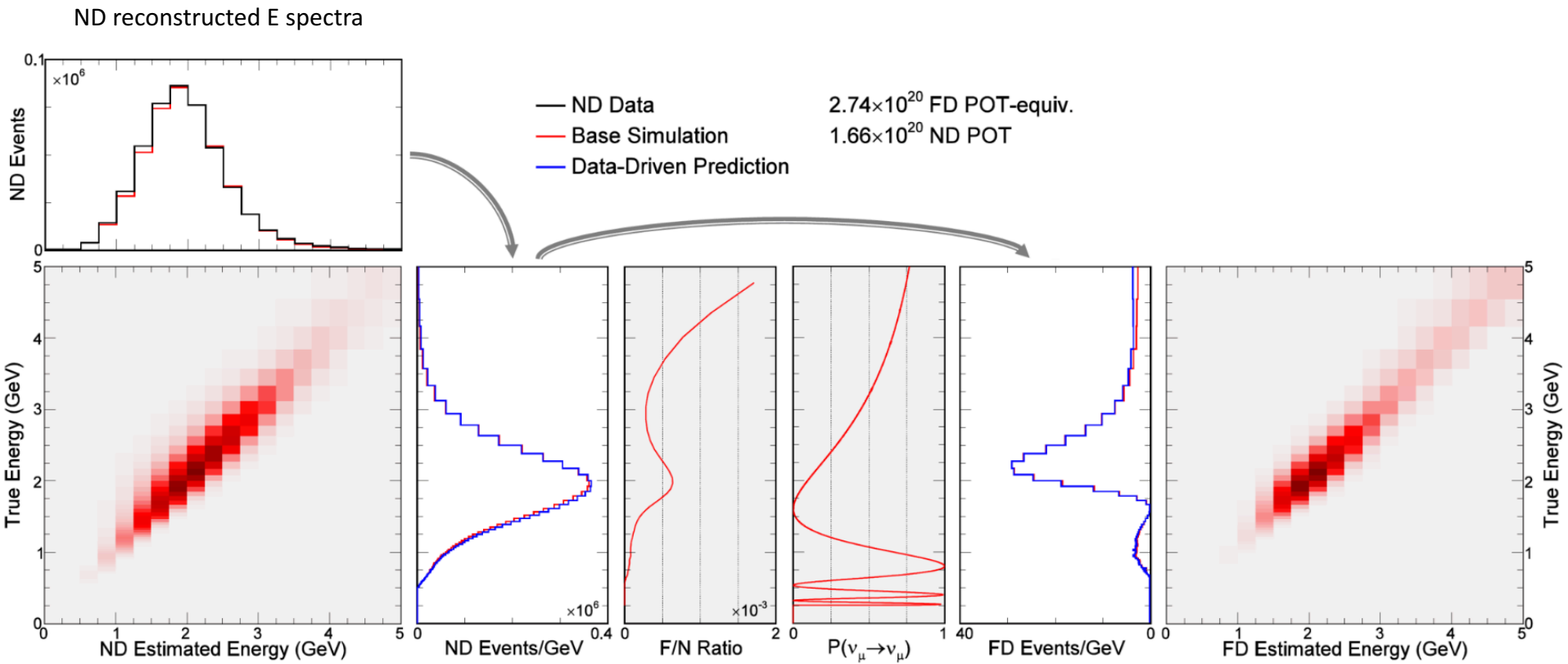
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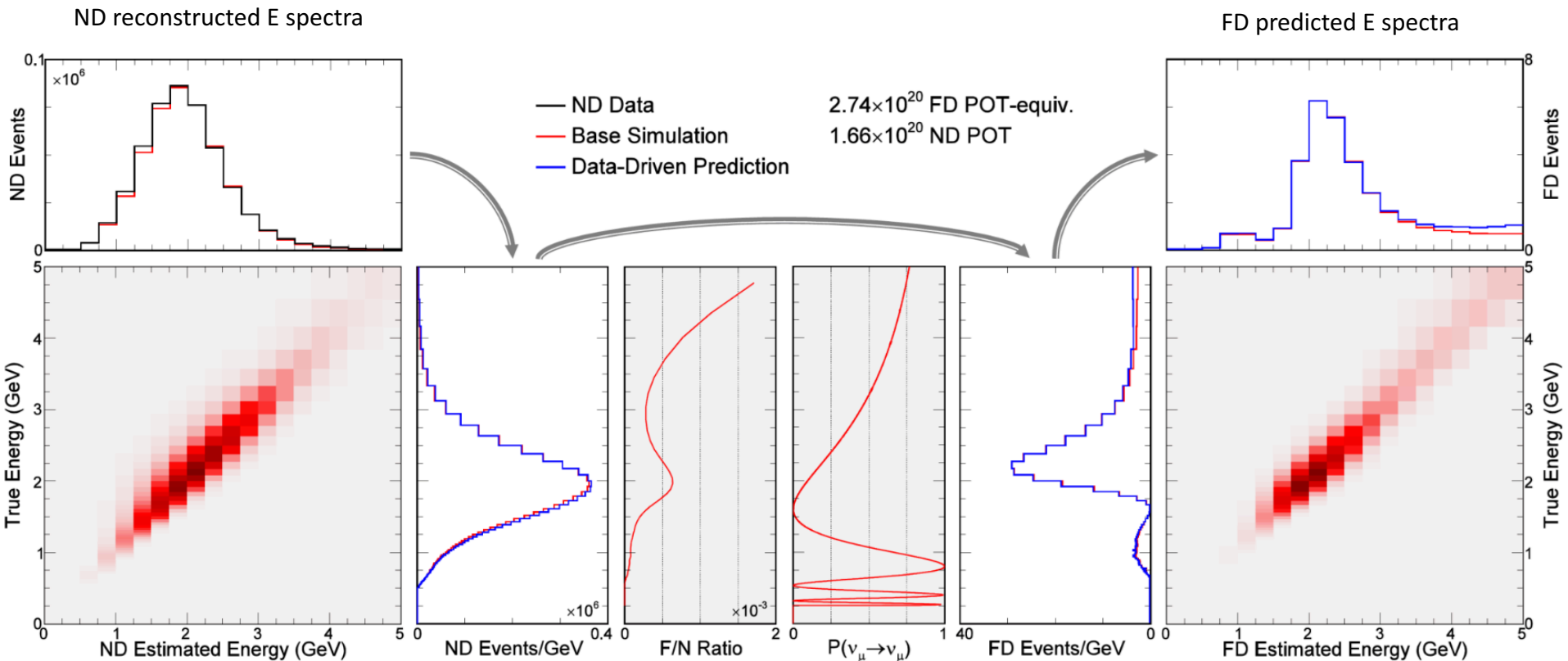
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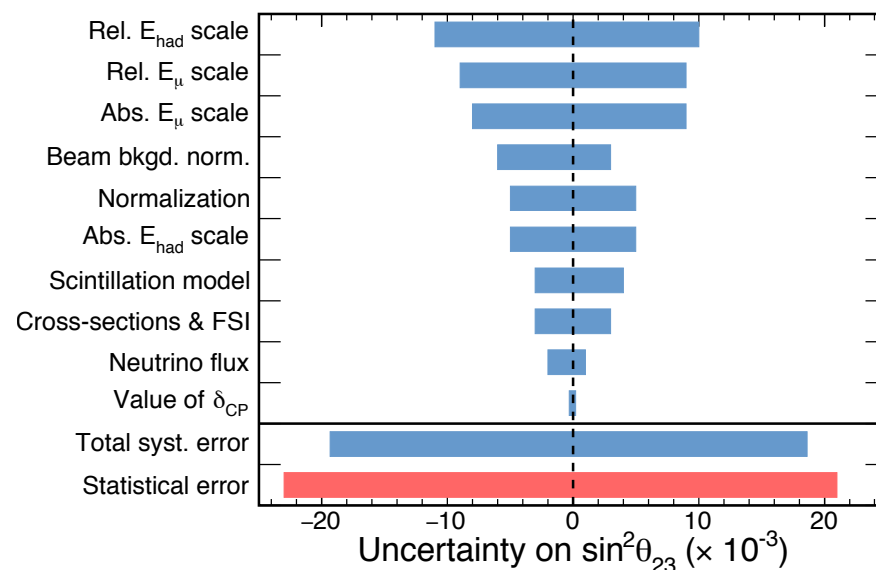
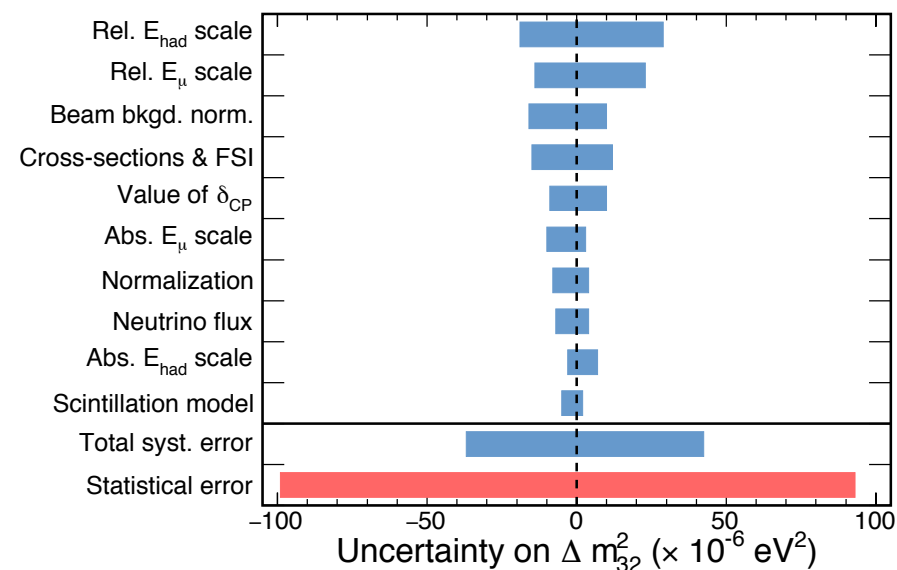
Far Detector Prediction:

The far detector prediction is generated using a near to far extrapolation process.



Systematics:

- The effect of many large uncertainties is reduced by the near-to-far extrapolation technique (cross sections, beam flux, etc.)
- Systematics were evaluated using specially generated MC samples, and fit by varying the MC based steps in the extrapolation.



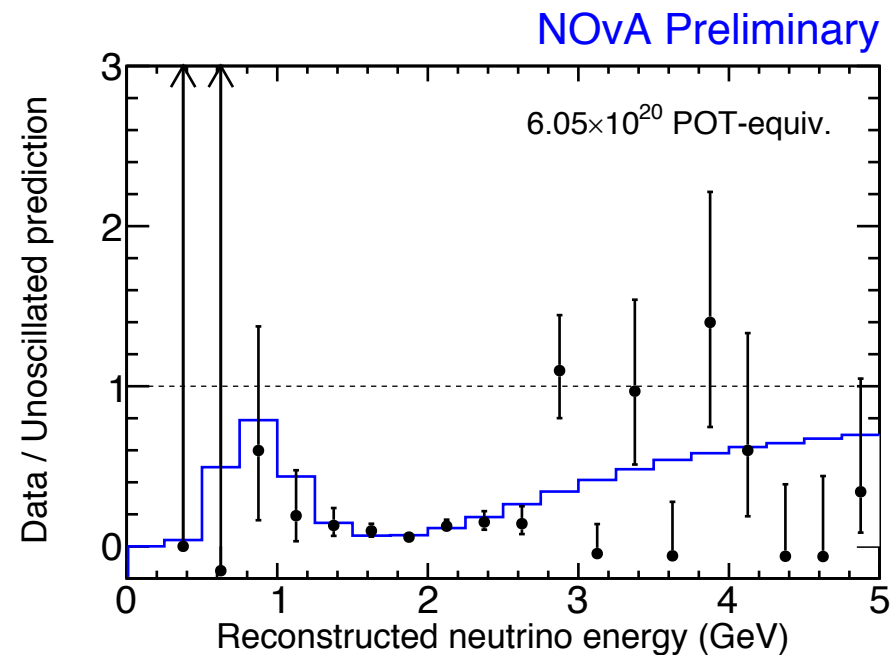
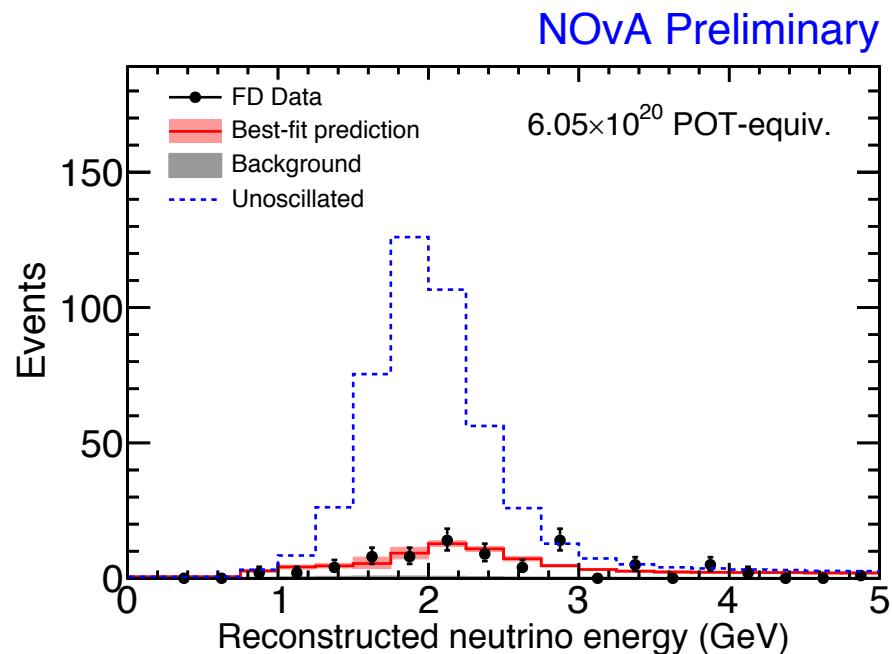
ν_μ CC Results:

78 events selected in the FD
(0 – 5 GeV)

**In the absence of oscillations,
473 events are expected.**

(including 2.9 cosmic and 3.7
beam backgrounds.)

**Clear observation of ν_μ
disappearance!**



ν_μ CC Results:

Spectrum is well matched to the oscillation parameters Δm_{32}^2 and θ_{23} .

(All syst. uncertainties fit as nuisance parameters.)

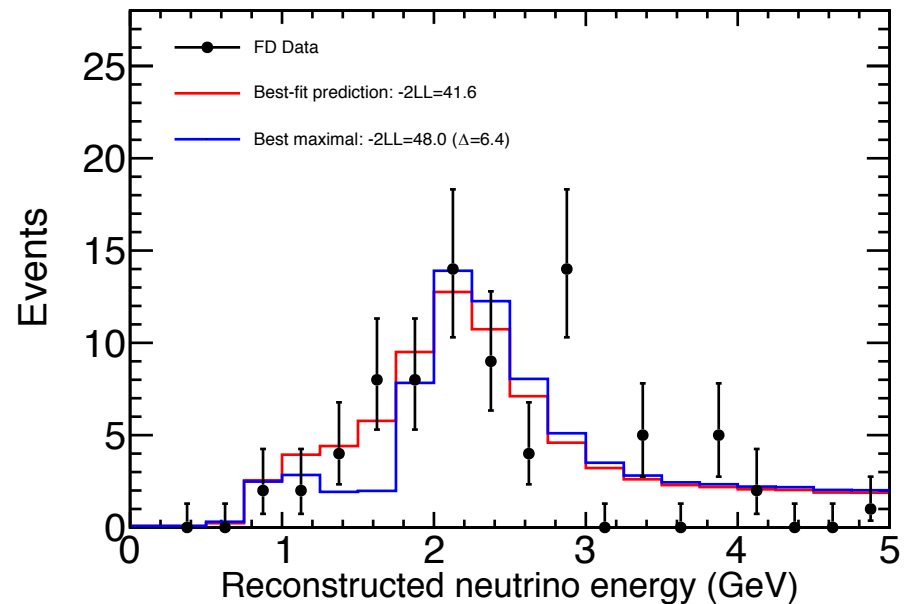
Best fit (in NH):

$$|\Delta m_{32}^2| = 2.67 \pm 0.11 \times 10^{-3} \text{eV}^2$$

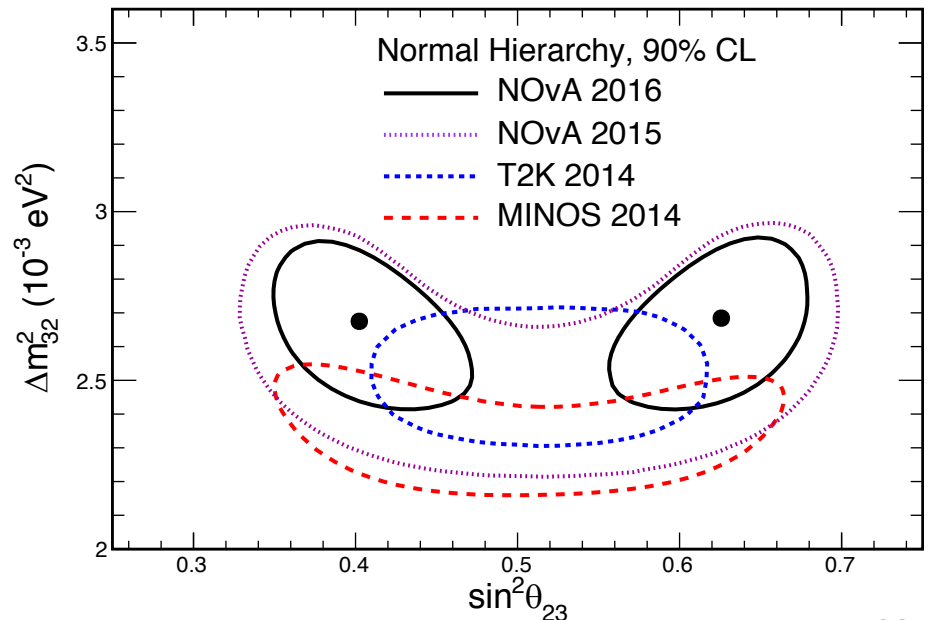
$$\sin^2 \theta_{23} = 0.404_{-0.022}^{+0.030} (0.624_{-0.030}^{+0.022})$$

Maximal mixing is disfavored at 2.6σ !

NOvA Preliminary



NOvA Preliminary



NOvA Results Summary:

- NOvA is a smoothly running experiment with more exciting physics on the way!
- Unambiguous observation of ν_μ disappearance which favors non-maximal mixing:

$$|\Delta m_{32}^2| = 2.67 \pm 0.11 \times 10^{-3} \text{ eV}^2$$
$$\sin^2 \theta_{23} = 0.404 (+0.030, -0.022)$$

- We have just recently finished a run in anti-neutrino mode.
- **Updated analyses are coming soon!**



Backups:

Neutrino Oscillations:

flavor PMNS mass

$$\begin{pmatrix} \nu_e \\ \nu_\mu \\ \nu_\tau \end{pmatrix} = \begin{bmatrix} 1 & 0 & 0 \\ 0 & C_{23} & S_{23} \\ 0 & -S_{23} & C_{23} \end{bmatrix} \begin{bmatrix} C_{13} & 0 & S_{13}e^{-i\delta} \\ 0 & 1 & 0 \\ -S_{13}e^{i\delta} & 0 & C_{13} \end{bmatrix} \begin{bmatrix} C_{12} & S_{12} & 0 \\ -S_{12} & C_{12} & 0 \\ 0 & 0 & 1 \end{bmatrix} \begin{pmatrix} \nu_1 \\ \nu_2 \\ \nu_3 \end{pmatrix}$$

$$S_{ij} \equiv \sin(\theta_{ij}) \quad C_{ij} \equiv \cos(\theta_{ij})$$

- Neutrinos can be described in one of two different bases: flavor or mass.
- Neutrino mixing is described by 3 real rotation angles and a CP violating phase factor, δ .
- All three rotation angles have been measured, but we don't yet know what delta is.

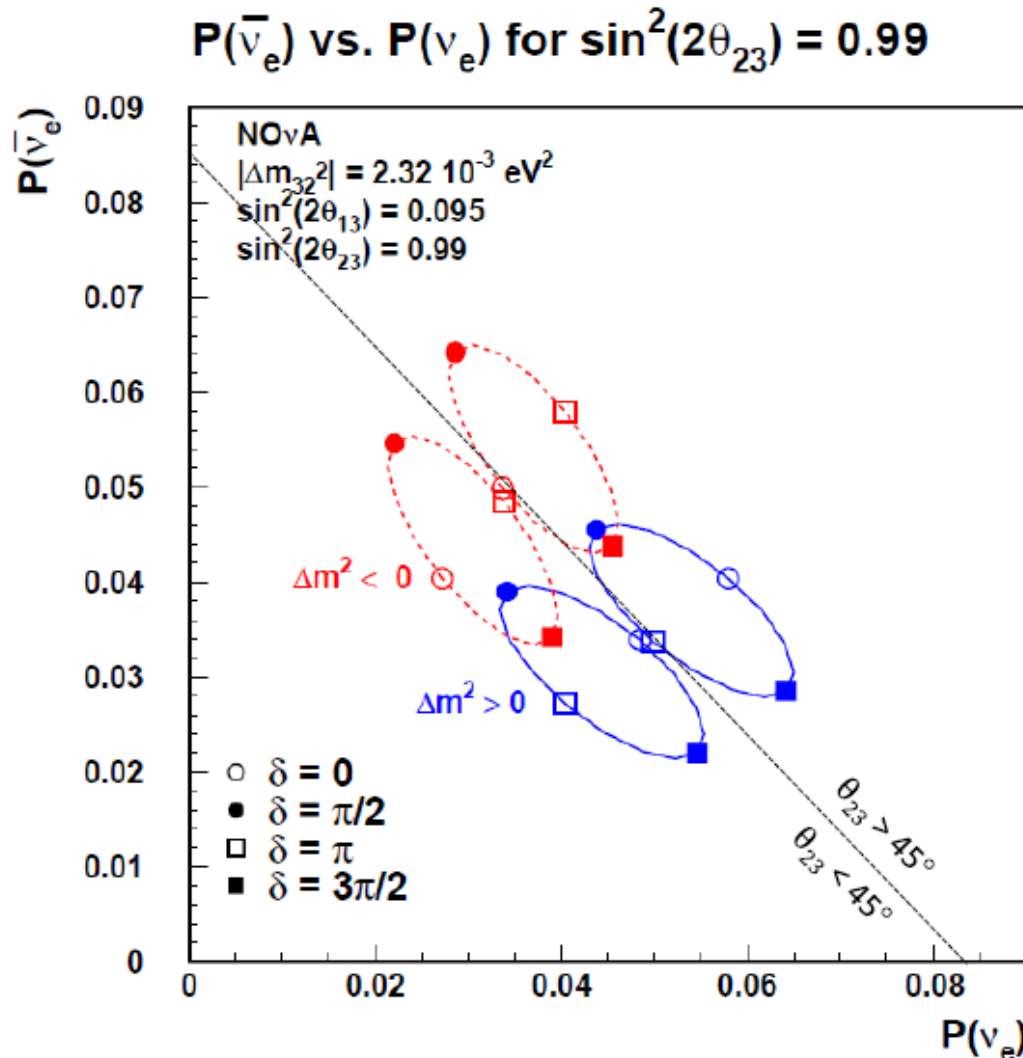
Neutrino Oscillations:

$$\begin{array}{c} \text{flavor} \end{array} \left(\begin{array}{c} v_e \\ v_\mu \\ v_\tau \end{array} \right) = \overbrace{\begin{bmatrix} C_{12}C_{13} & S_{12}C_{13} & S_{13}e^{-i\delta} \\ -S_{12}C_{23} - C_{12}S_{23}S_{13}e^{i\delta} & C_{12}C_{23} - S_{12}S_{23}S_{13}e^{i\delta} & S_{23}C_{13} \\ S_{12}S_{23} - C_{12}C_{23}S_{13}e^{i\delta} & -C_{12}S_{23} - S_{12}C_{23}S_{13}e^{i\delta} & C_{23}C_{13} \end{bmatrix}}^{\text{PMNS}} \underbrace{\left(\begin{array}{c} v_1 \\ v_2 \\ v_3 \end{array} \right)}_{\text{mass}}$$

$$S_{ij} \equiv \sin(\theta_{ij}) \quad C_{ij} \equiv \cos(\theta_{ij})$$

- Neutrinos can be described in one of two different bases: flavor or mass.
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Resolving the θ_{23} Octant:



- Including CP violation
- Including the matter effect
- Including non-maximal θ_{23}

Neutrino Oscillations:

Flavor oscillation in general:

$$P(\nu_\alpha \rightarrow \nu_\beta) = \left| \sum_j U_{\alpha j}^* U_{\beta j} e^{-im_j^2 L/2E} \right|^2$$

ν_μ survival probability:

$$P(\nu_\mu \rightarrow \nu_\mu) \approx 1 - \sin^2(2\theta_{23}) \sin^2 \left(\underbrace{\frac{1.27 \Delta m_{32}^2 L}{E}}_{\Delta_{23}} \right)$$

$$\Delta m_{ij}^2 \equiv m_i^2 - m_j^2$$

ν_e appearance probability:

$$P(\bar{\nu}_\mu \rightarrow \bar{\nu}_e) \approx P_{atm} + P_{sol} + 2\sqrt{P_{atm}P_{sol}} [\cos(\Delta_{32})\cos(\delta) \mp \sin(\Delta_{32})\sin(\delta)]$$

$$P_{atm} \equiv \sin^2(\theta_{23}) \sin^2(2\theta_{13}) \frac{\sin^2(\Delta_{31} \mp aL)}{(\Delta_{31} \mp aL)^2} (\Delta_{31})^2$$

"-" = neutrinos

"+" = anti - neutrinos

$$a \equiv G_F N_e / \sqrt{2}$$

$$P_{sol} \equiv \cos^2(\theta_{23}) \sin^2(2\theta_{12}) \frac{\sin^2(\mp aL)}{(\mp aL)^2} (\Delta_{21})^2$$

N_e = electron density in Earth

octant

Is $\theta_{23} > 45^\circ$ or
 $\theta_{23} < 45^\circ$?

hierarchy

Is $m_3 > m_1$ or is
 $m_3 < m_1$?

CP violation

Is $\delta \neq 0$?

Neutrino Oscillations:

ν_e appearance probability:

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"-" = neutrinos

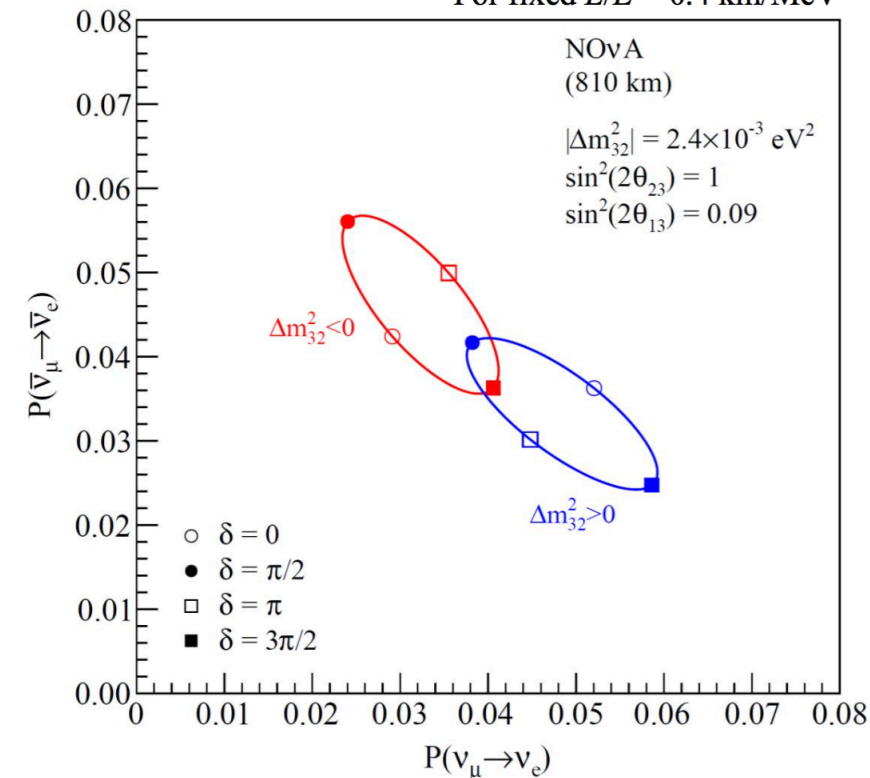
"+" = anti - neutrinos

$$P_{sol} \equiv \cos^2(\Theta_{23})\sin^2(2\Theta_{12})\frac{\sin^2(\mp aL)}{(\mp aL)^2}(\Delta_{21})^2$$

$$a \equiv G_F N_e / \sqrt{2}$$

N_e = electron density in Earth

For fixed $L/E = 0.4$ km/MeV



Neutrino Oscillations:

ν_e appearance probability:

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$$P_{atm} \equiv \sin^2(\Theta_{23})\sin^2(2\Theta_{13})\frac{\sin^2(\Delta_{31} \mp aL)}{(\Delta_{31} \mp aL)^2}(\Delta_{31})^2$$

"-" = *neutrinos*

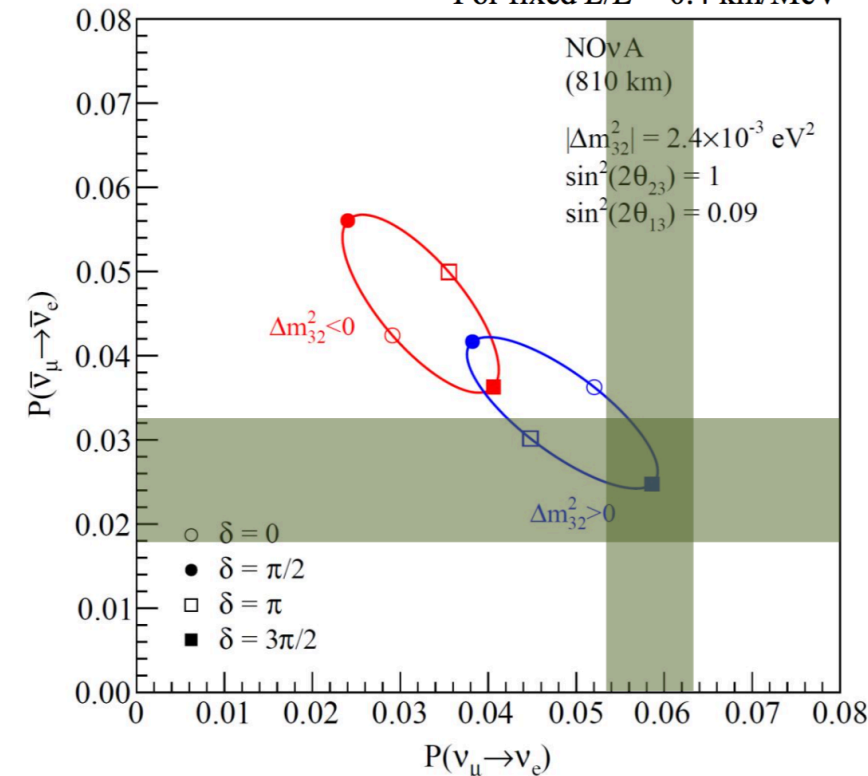
"+" = *anti - neutrinos*

$$P_{sol} \equiv \cos^2(\Theta_{23})\sin^2(2\Theta_{12})\frac{\sin^2(\mp aL)}{(\mp aL)^2}(\Delta_{21})^2$$

$$a \equiv G_F N_e / \sqrt{2}$$

N_e = *electron density in Earth*

For fixed $L/E = 0.4$ km/MeV

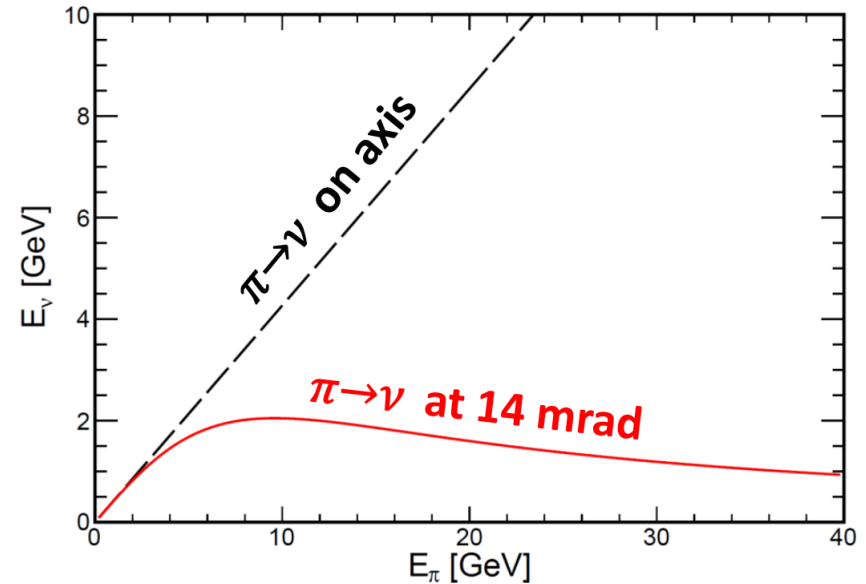
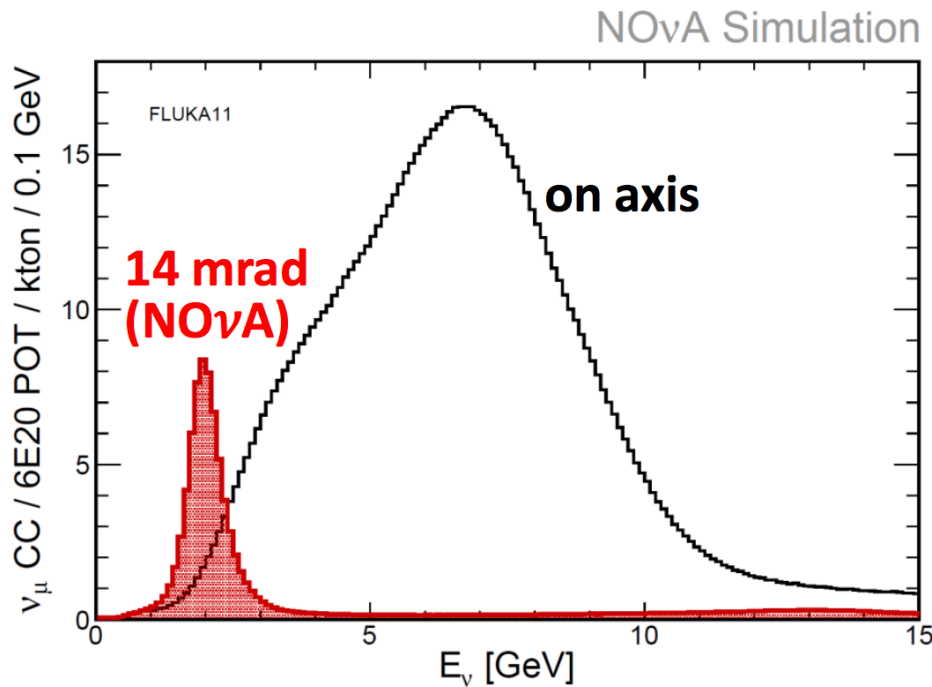


A simultaneous measurement of ν_e appearance and $\bar{\nu}_e$ appearance will help us answer these open questions!

The NOvA Experiment: NuMI Beam

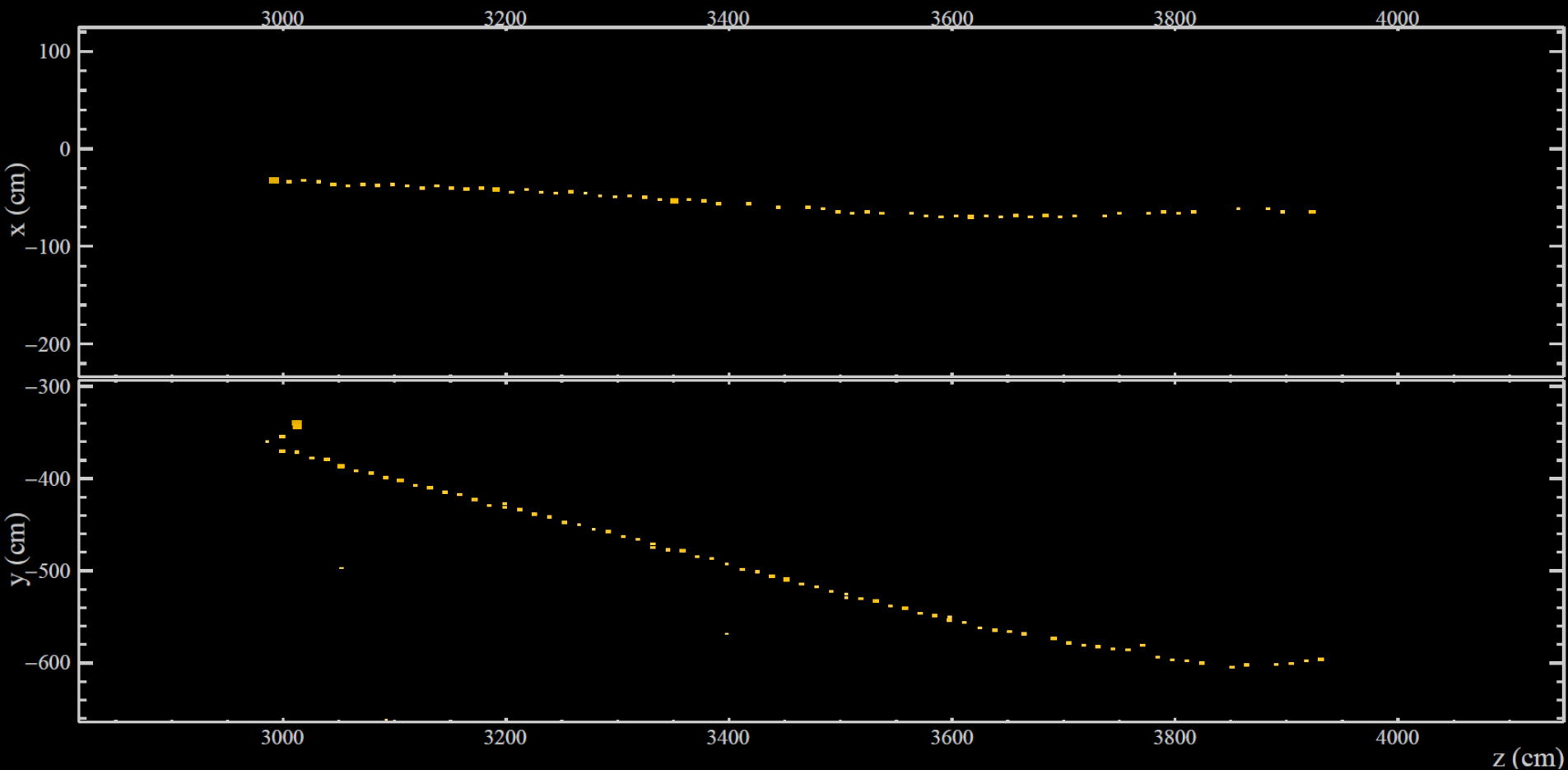
The NOvA experiment is 14 mrad off-axis:

- gives us a narrowly peaked ν energy spectrum at 2 GeV
- 2 GeV = oscillation max for 810 km
- helps reduce NC backgrounds



$$E_\nu = \frac{0.43 E_\pi}{1 + \gamma^2 \theta^2}$$

Far Detector selected ν_μ CC candidate



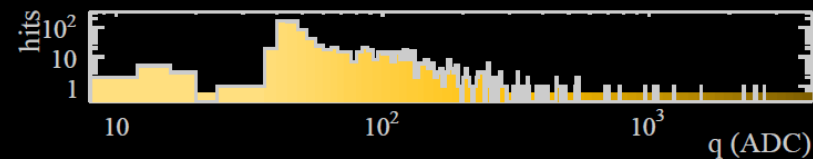
NOvA - FNAL E929

Run: 18756 / 37

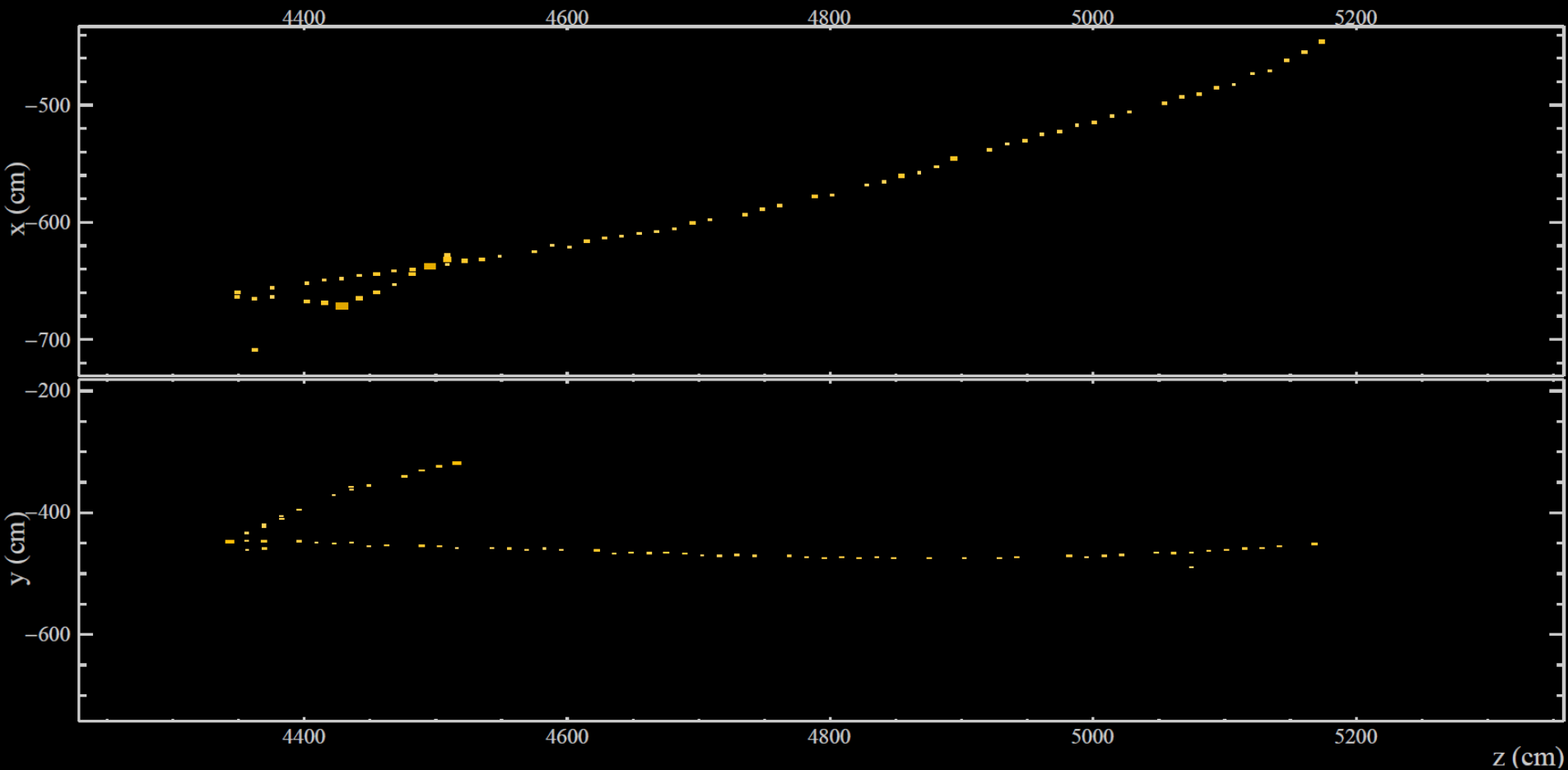
Event: 597960 / --

UTC Sun Jan 25, 2015

13:29:18.710709824



Far Detector selected ν_μ CC candidate



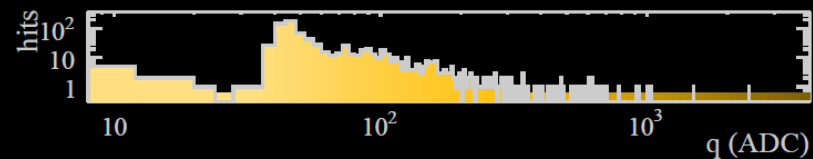
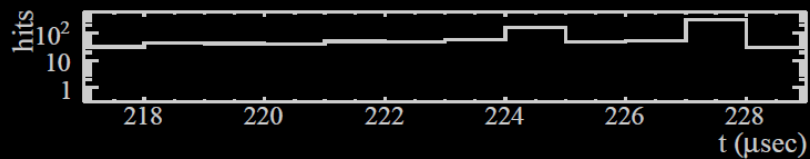
NOvA - FNAL E929

Run: 18791 / 48

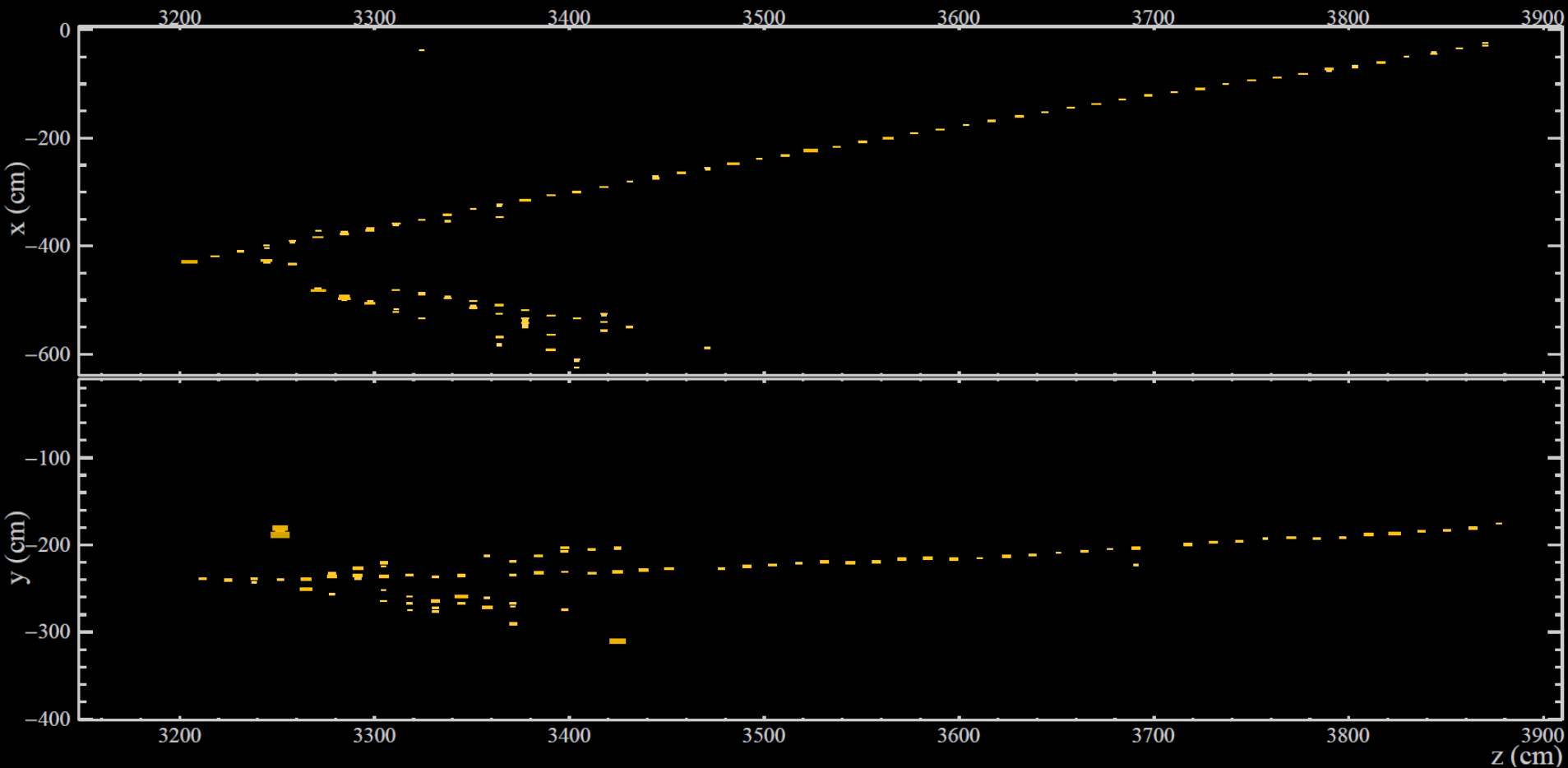
Event: 765587 / --

UTC Fri Jan 30, 2015

07:19:18.516289184



Far Detector selected ν_μ CC candidate



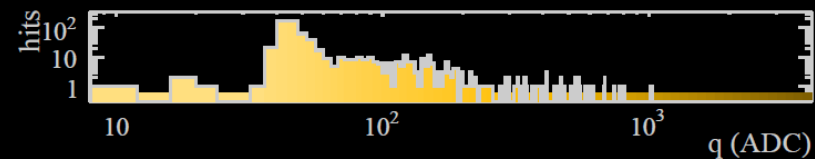
NOvA - FNAL E929

Run: 19084 / 62

Event: 908450 / --

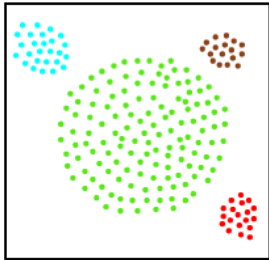
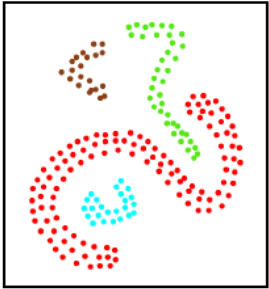
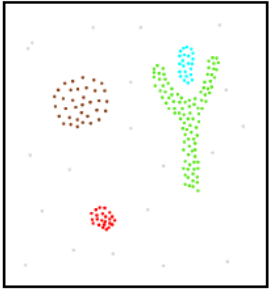
UTC Thu Mar 12, 2015

04:16:51.818581248



Event Reconstruction with NOvA:

Clustering:



- Uses an expanding density based clustering algorithm called DBSCAN*
- Hits are clustered based on a causality score (two hits are neighbors if their score is $<$ threshold.)

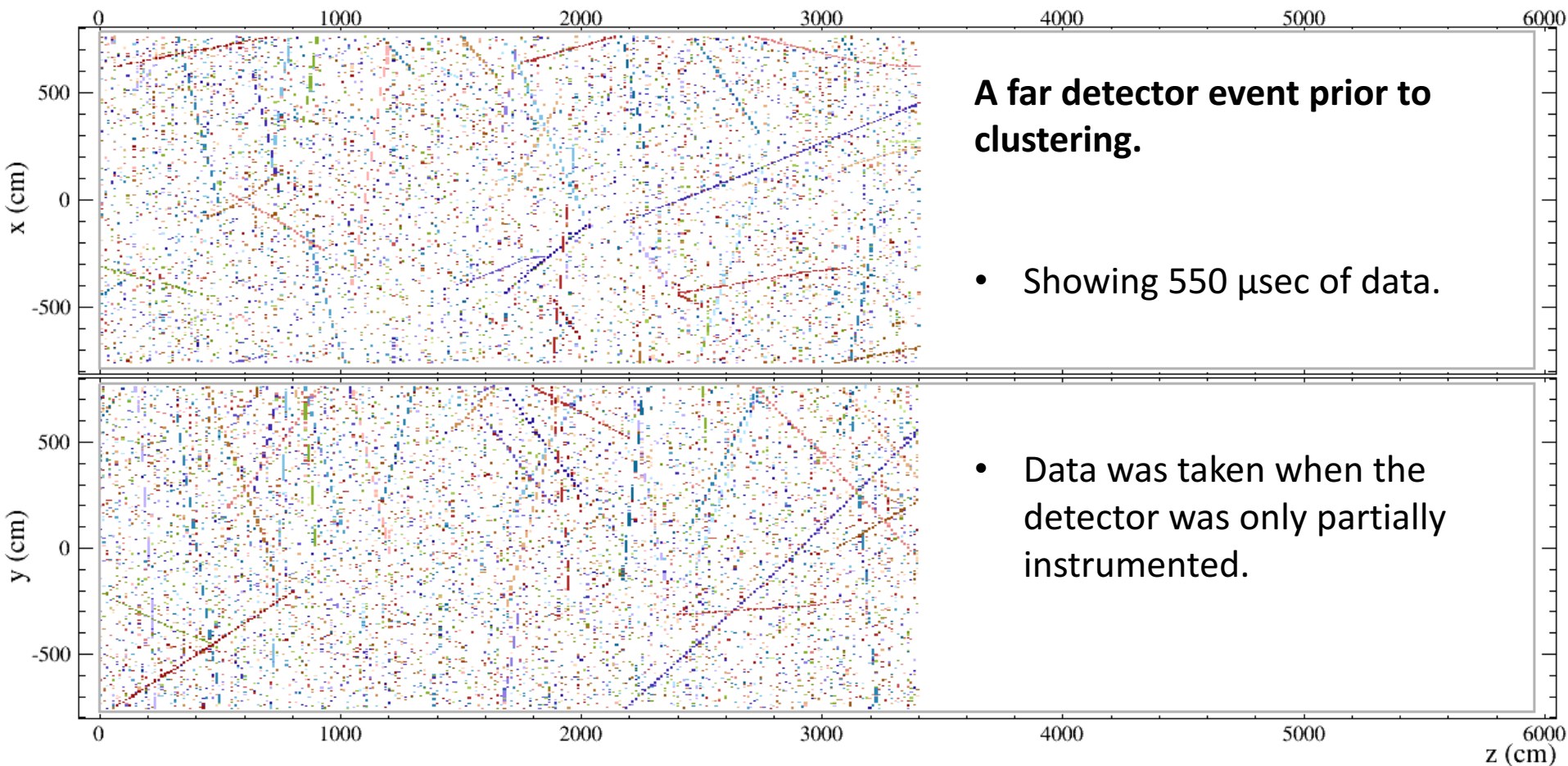
$$score = \left(\frac{\Delta T - \Delta r/c}{T_{res}} \right)^2 + \left(\frac{\Delta r}{D_{pen}} \right)^2$$

- Cluster borders are defined by regions where the neighborhood density drops below some critical value.
- The algorithm expands from neighbor to neighbor to find all borders.

Far Detector:	ave. completeness = ~99%	ave. purity = ~99%
Near Detector:	ave. completeness = ~94%	ave. purity = ~99%

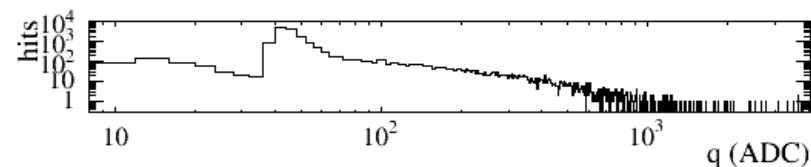
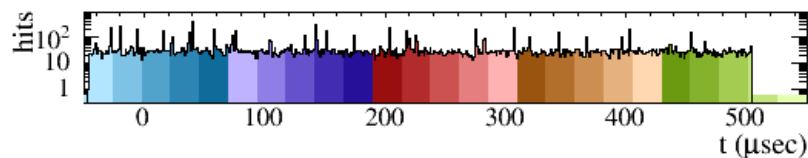
* M. Ester, et. al., A Density-Based Algorithm for Discovering Clusters in Large Spatial Databases with Noise (1996)

Event Reconstruction with NOvA:

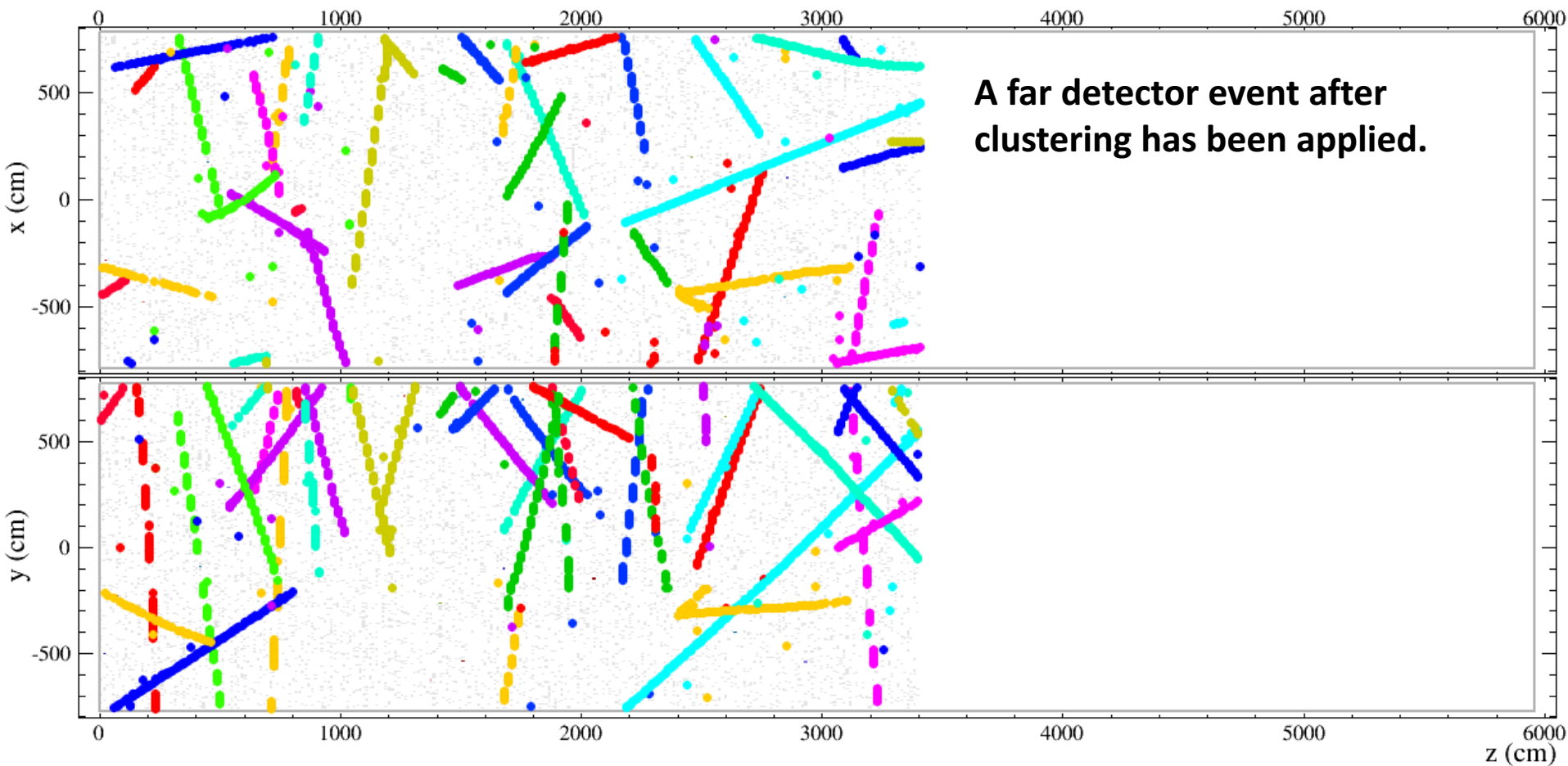


NOvA - FNAL E929

Run: 14828 / 38
Event: 192569 / NuMI
UTC Tue Apr 22, 2014
21:41:51.422846016



Event Reconstruction with NOvA:



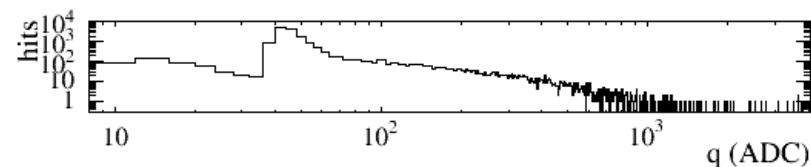
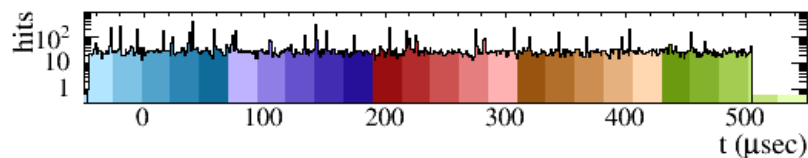
NOvA - FNAL E929

Run: 14828 / 38

Event: 192569 / NuMI

UTC Tue Apr 22, 2014

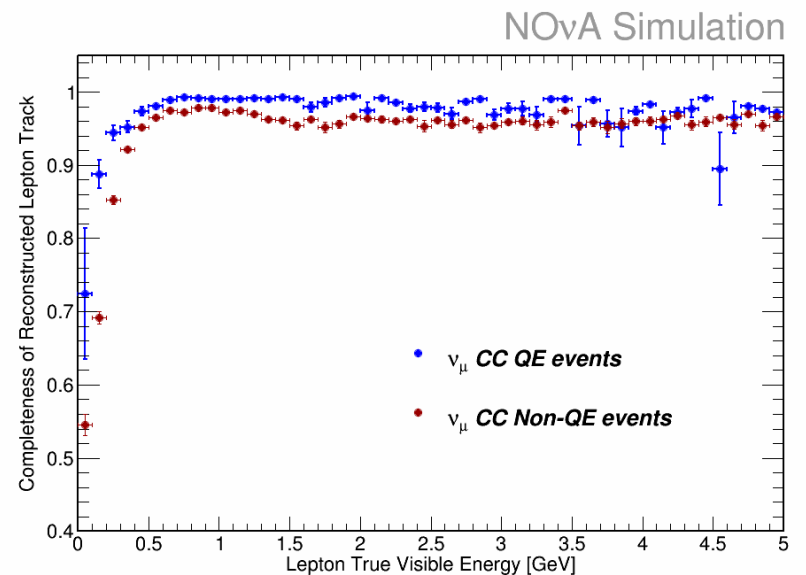
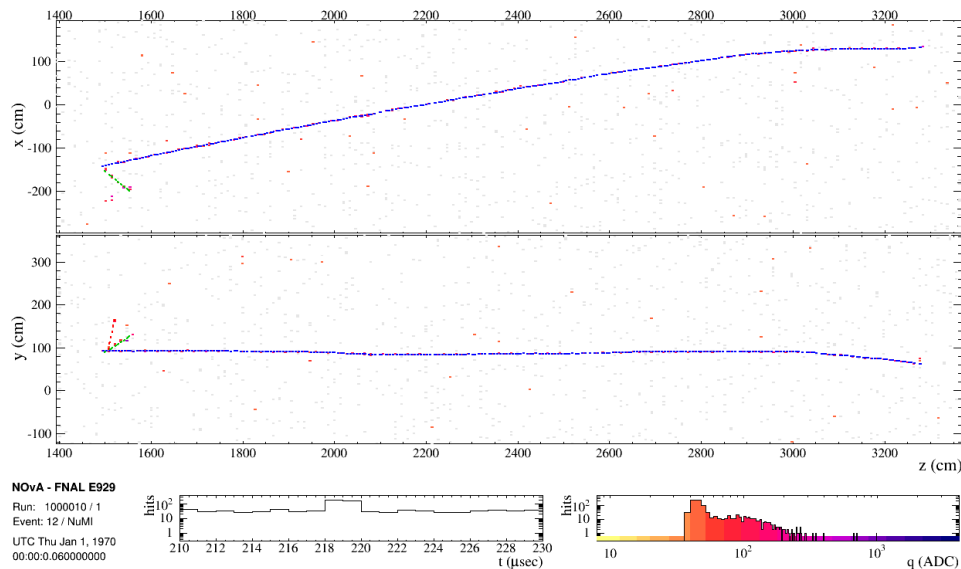
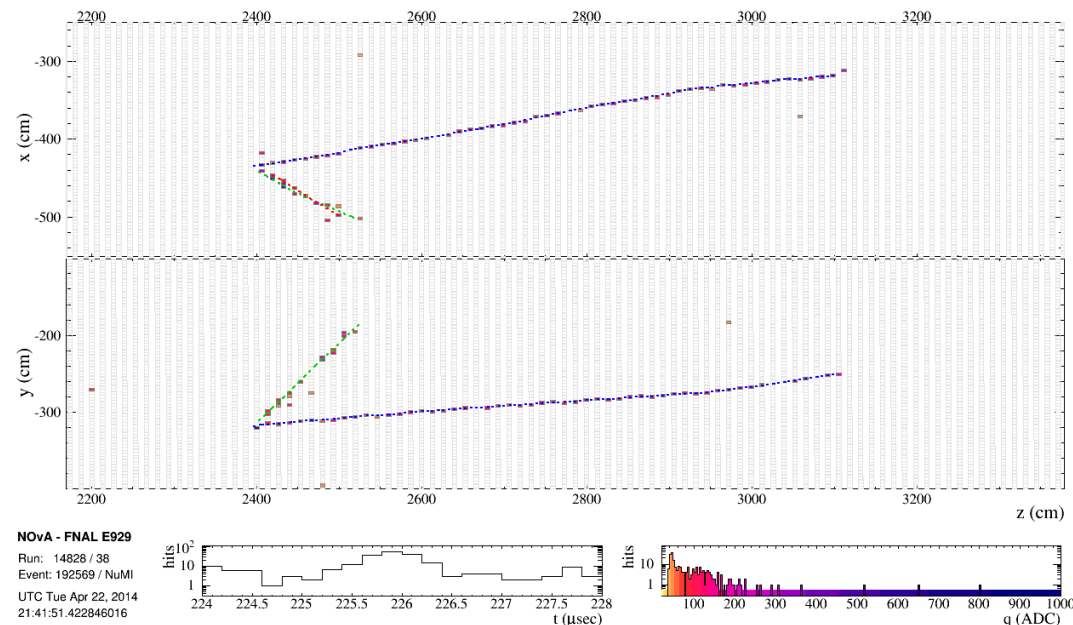
21:41:51.422846016



Event Reconstruction with NOvA:

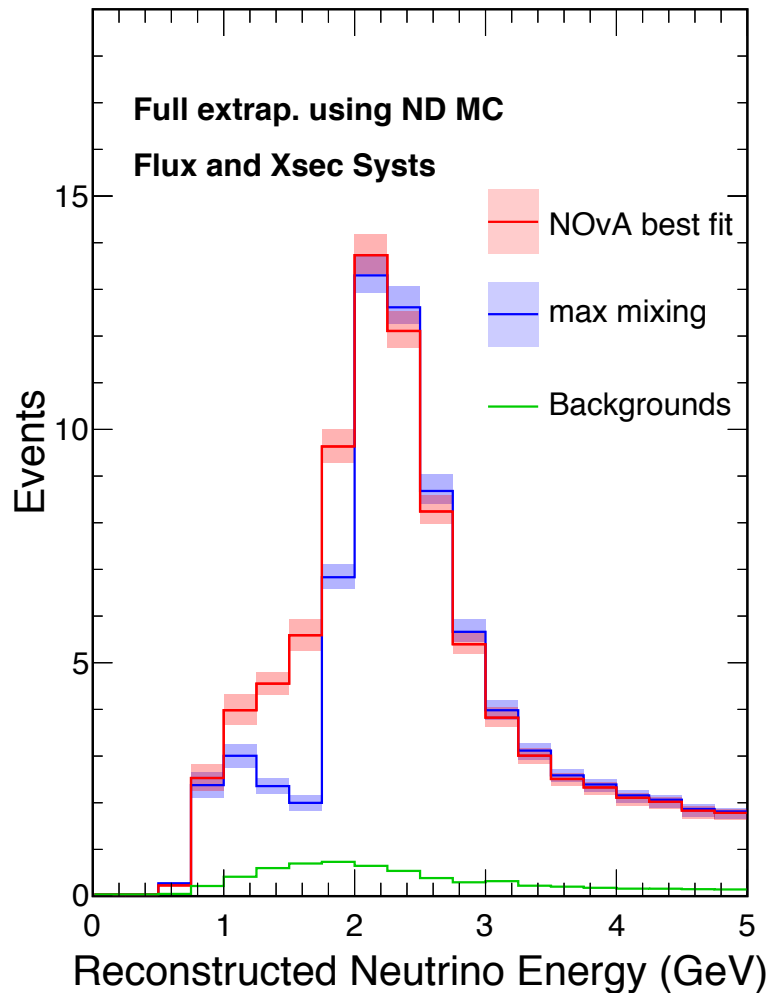
Particle Tracking:

- A tracking algorithm is used primarily to reconstruct muons.
- Tracks are propagated "upstream" in the beam based on a Kalman filter and using a multiple scattering model.

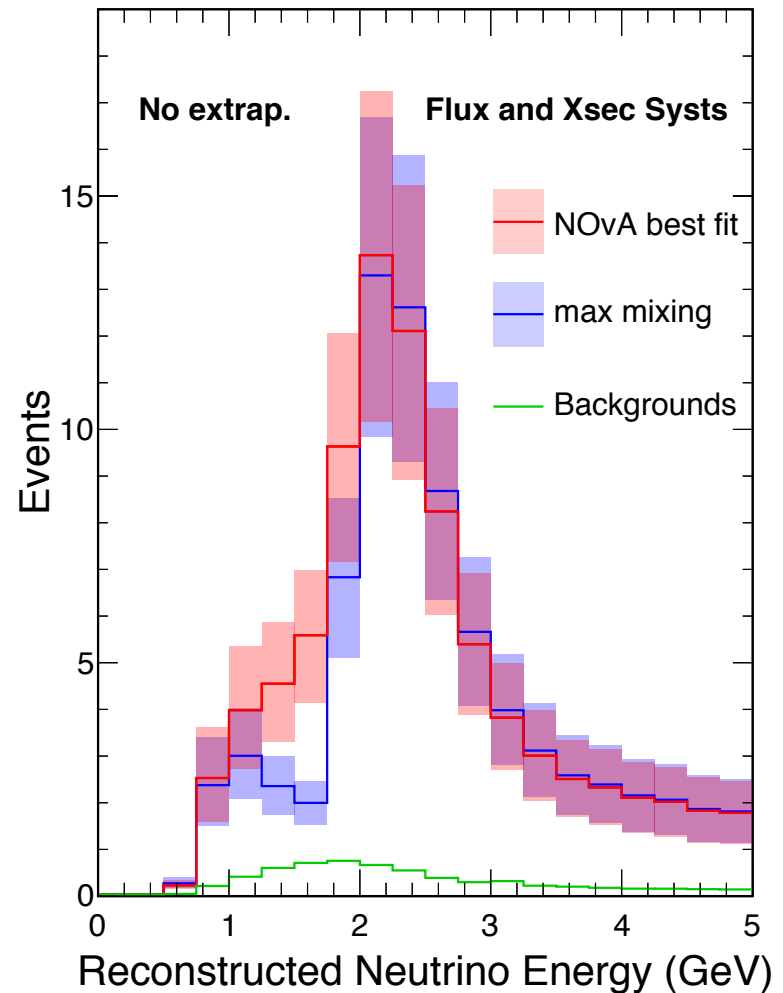


Far Detector Prediction:

NOvA Simulation



NOvA Simulation

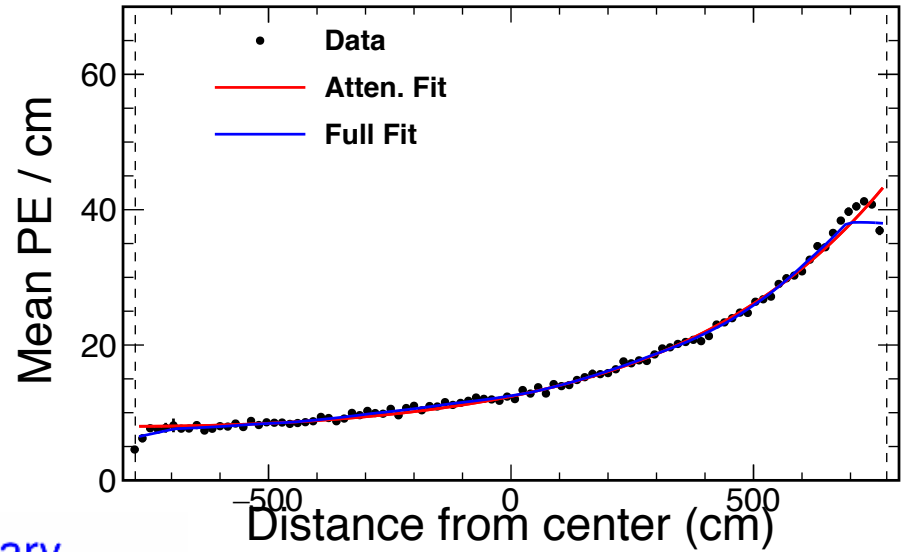


Calibration:

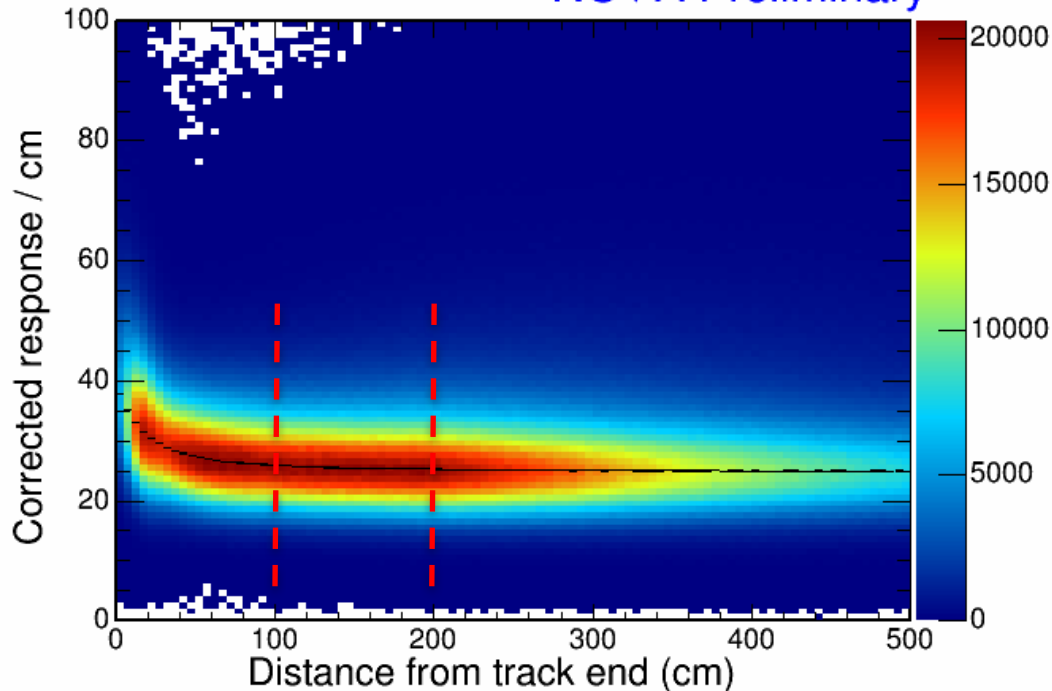
- Compute the attenuation curve for each fiber individually using through-going cosmic muons.
- This puts all fibers and cells on an equal footing.

NOvA Preliminary

FD cosmic data - plane 49 (vertical), cell 91



NOvA Preliminary

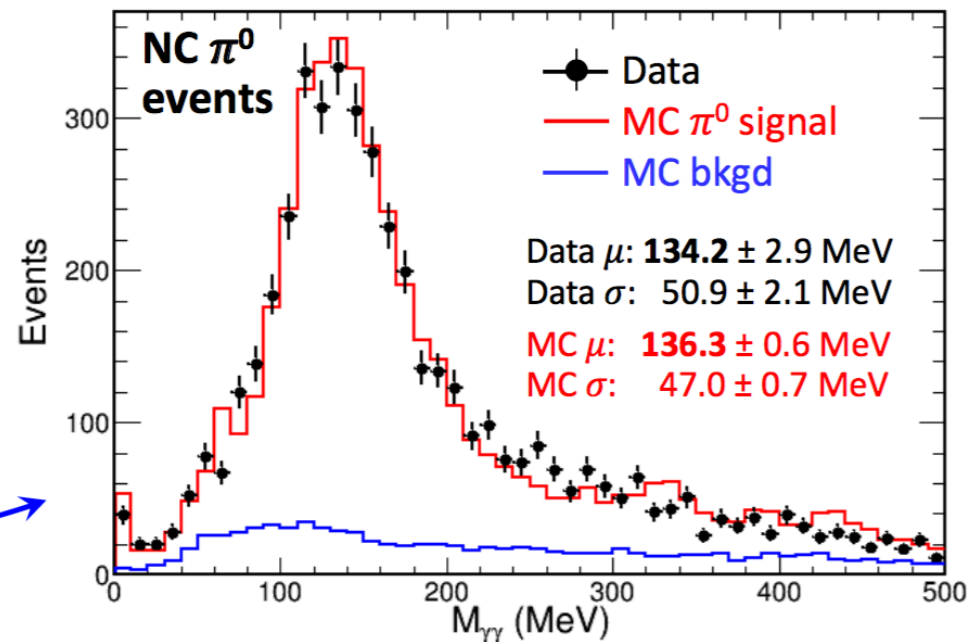


- Compute the absolute energy scale for the whole detector using stopping cosmic muons.
- Look for “good” hits in the MIP region of the track.

Multiple probes of energy scale

In Near Detector

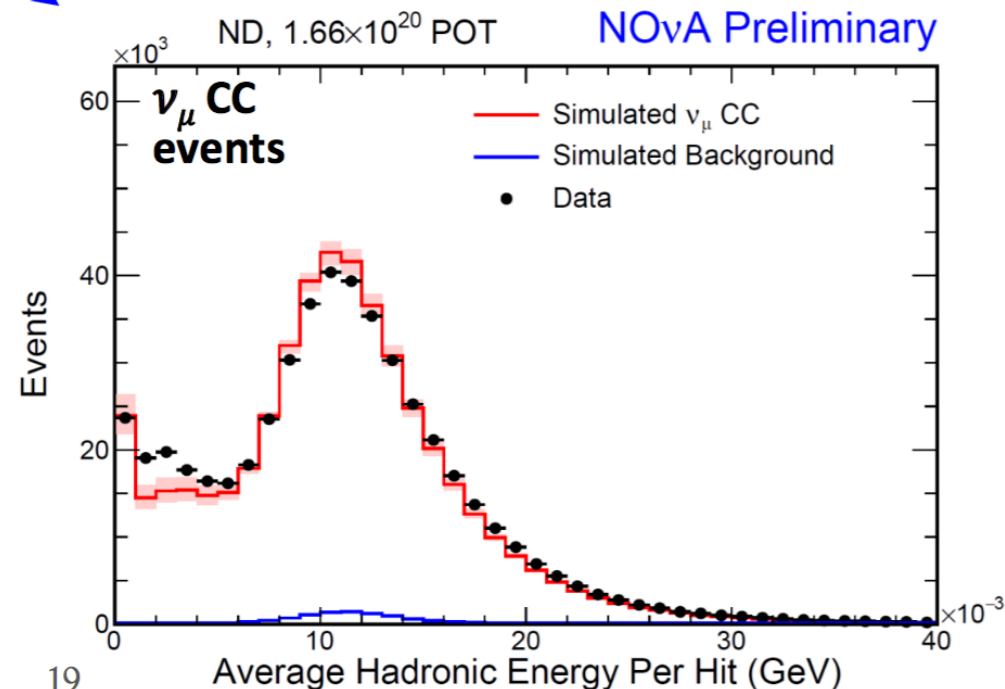
- cosmic μ dE/dx [\sim vertical]
- beam μ dE/dx [\sim horizontal]
- Michel e^- spectrum
- π^0 mass
- hadronic shower E -per-hit



In Far Detector

- cosmic μ dE/dx [\sim vertical]
- beam μ dE/dx [\sim horizontal]
- Michel e^- spectrum

All agree within $\pm 5\%$

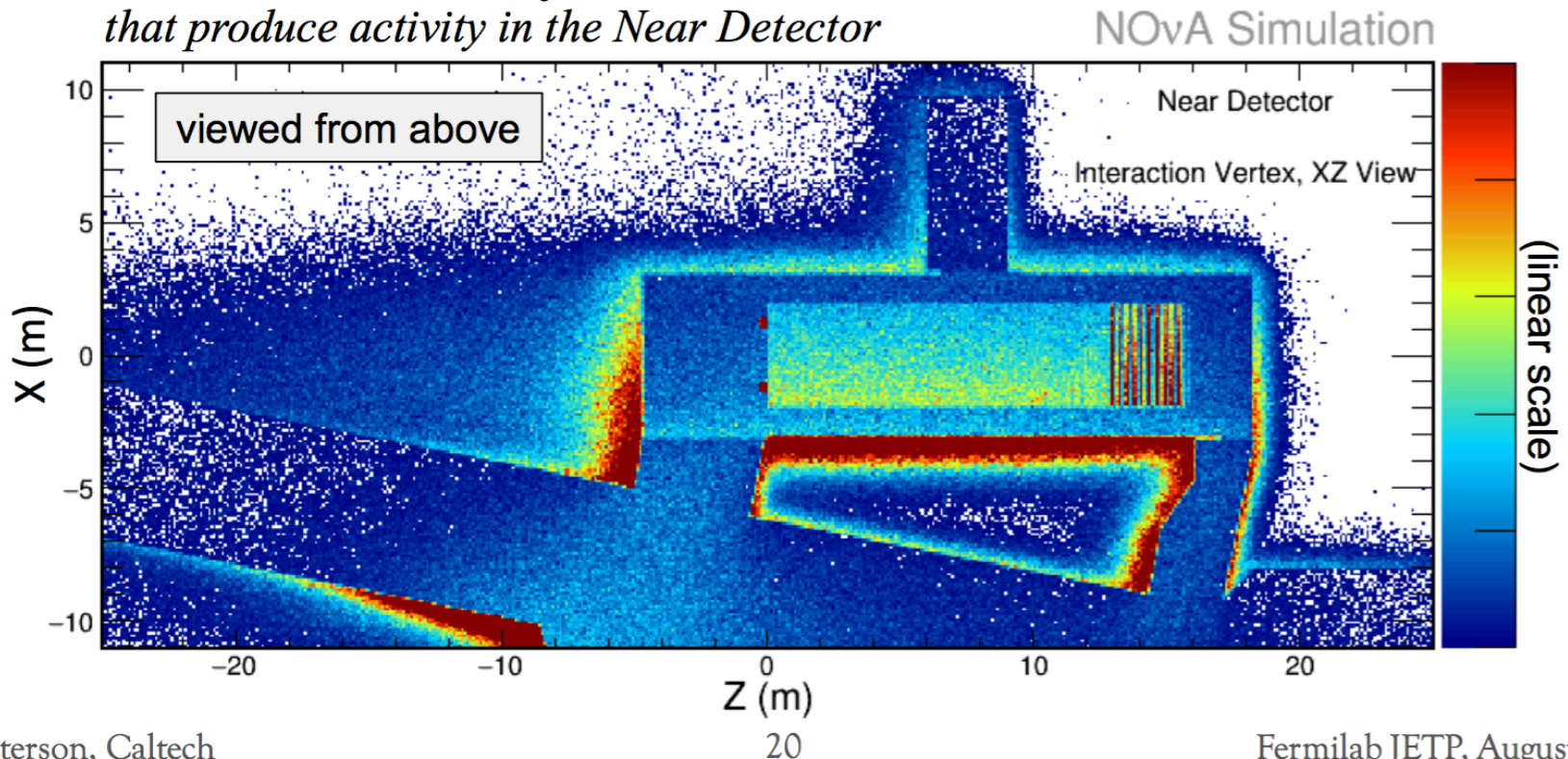


Simulation

Highly detailed end-to-end simulation chain

- Beam hadron production, propagation; neutrino flux: **FLUKA/FLUGG**
- Cosmic ray flux: **CRY**
- Neutrino interactions and FSI modeling: **GENIE**
- Detector simulation: **GEANT4**
- Readout electronics and DAQ: **Custom simulation routines**

Simulation: Locations of neutrino interactions that produce activity in the Near Detector



Event Reconstruction with NOvA:

Reconstruction Flow:

1. Separate physics hits into groups that have a common origin (neutrino interaction or cosmic ray) while also separating them from noise hits. These groups are called “slices.”



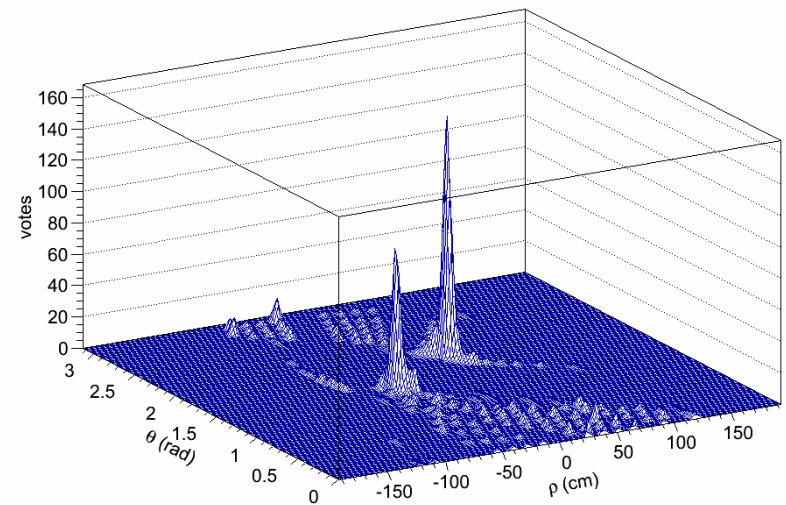
2. Identify the global event vertex.
 3. Create clusters of hits belonging to particles.
 4. Make tracks from these clusters using a multiple scattering model.
2. Apply alternate trackers (a Kalman filter and a simple straight-line fitter) used for event selection and cosmic rejection.

Event Reconstruction with NOvA:

Finding a Global Vertex:

(M.Baird, M.Messier, E.Niner)

- A modified two-point Hough transform is used to create a set of 2D lines that reflect major event features. *
- The Hough lines are then used as input to the vertex finding algorithm.
- For a generated list of vertex candidates, the best vertex is the one that minimizes an “energy cost” function based on distances from hits to “arms.” **
- A process of simulated annealing is used to allow the best vertex candidate to settle into an optimal location.



For ν_e CC, average vtx. res. = 10.9 cm

For ν_μ CC, average vtx. res. = 11.6 cm

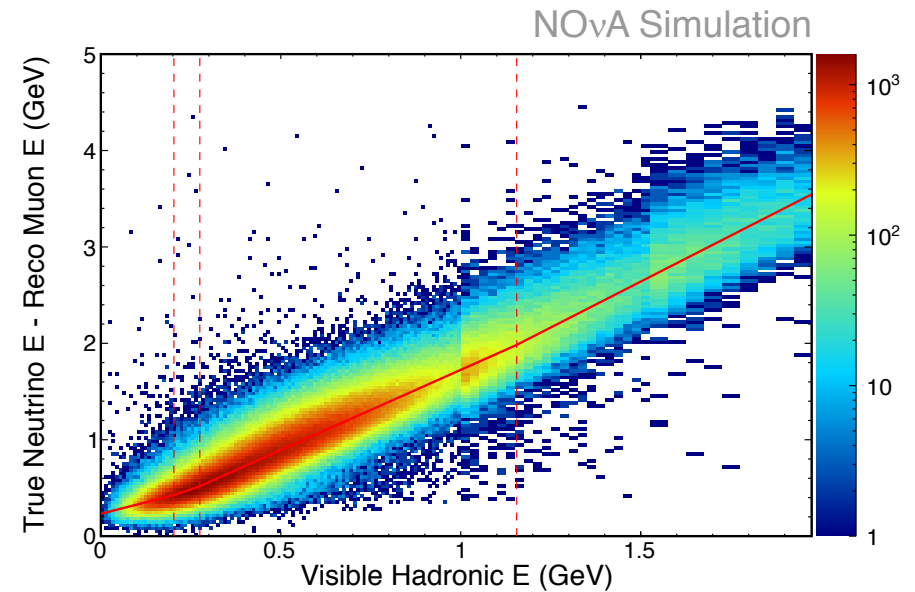
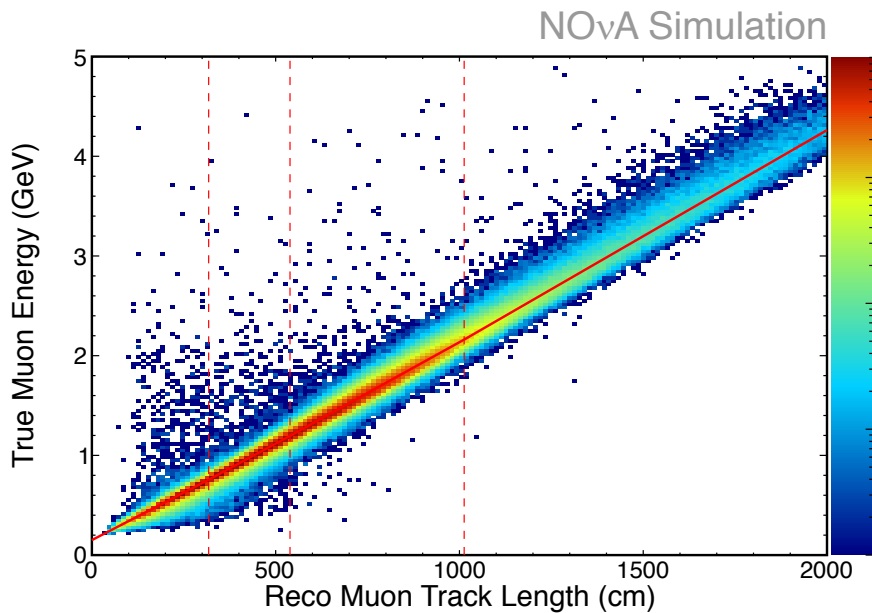
For NC, average vtx. res. = 28.8 cm

* L. Fernandes and M. Oliveira, Pattern Recognition, 41 (2008) 299-314.

** M. Ohlsson, C. Peterson, Computer Physics Communications, 71 (1992) 77-98.

Energy Estimation:

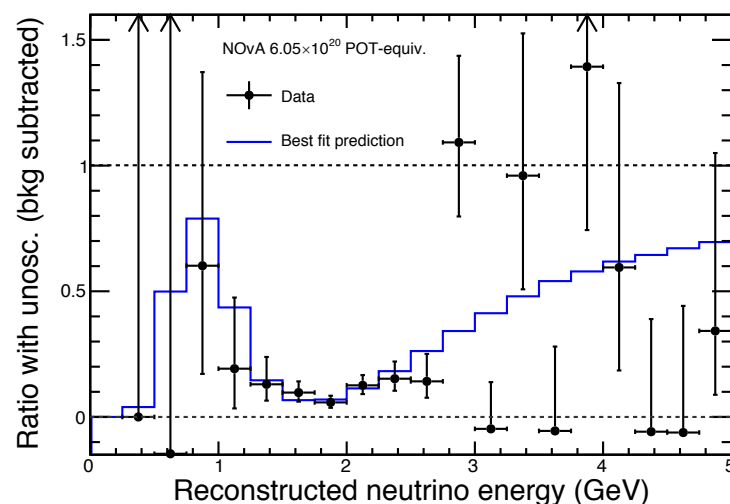
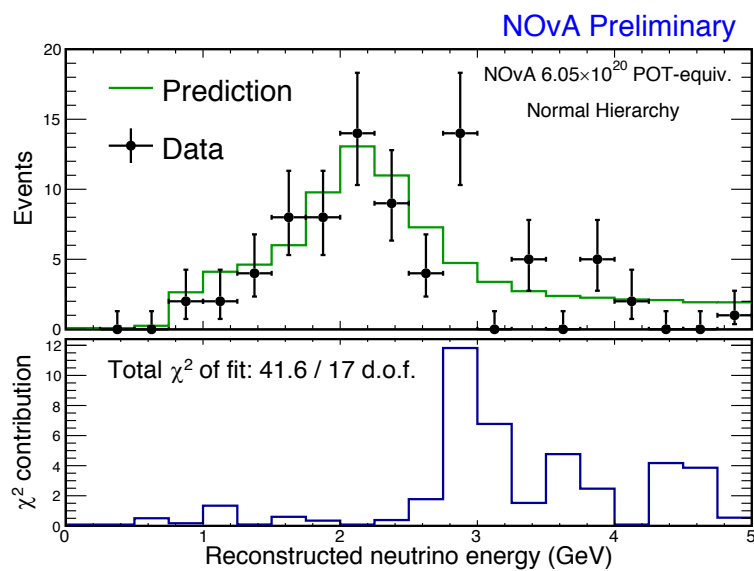
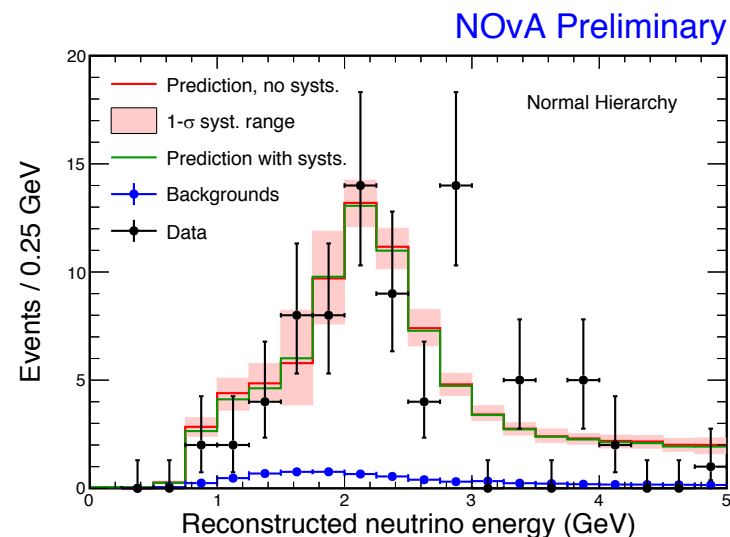
- True energy for the muon and the hadronic component are converted from track length and summed calorimetric energy (respectively) using the MC.



Muon Neutrino FD Data

- 78 events observed in FD
 - 473 ± 30 with no oscillation
 - 82 at best oscillation fit
 - 3.7 beam BG + 2.9 cosmic

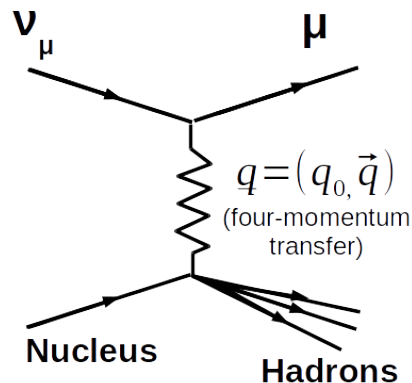
$\chi^2/\text{NDF}=41.6/17$
 Driven by fluctuations in
 tail, no pull in oscillation fit



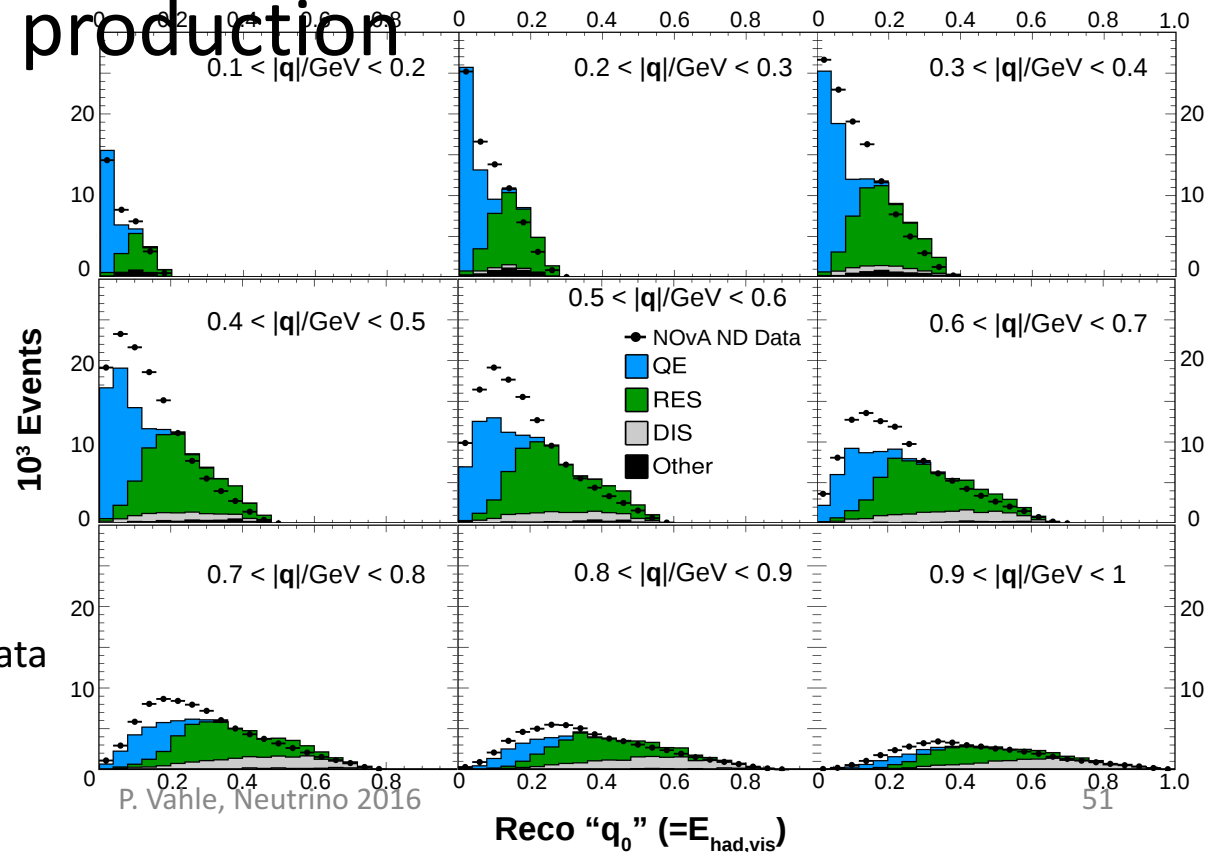
Scattering in a Nuclear Environment

- Near detector hadronic energy distribution suggests unsimulated process between quasi-elastic and delta production

NOvA Preliminary



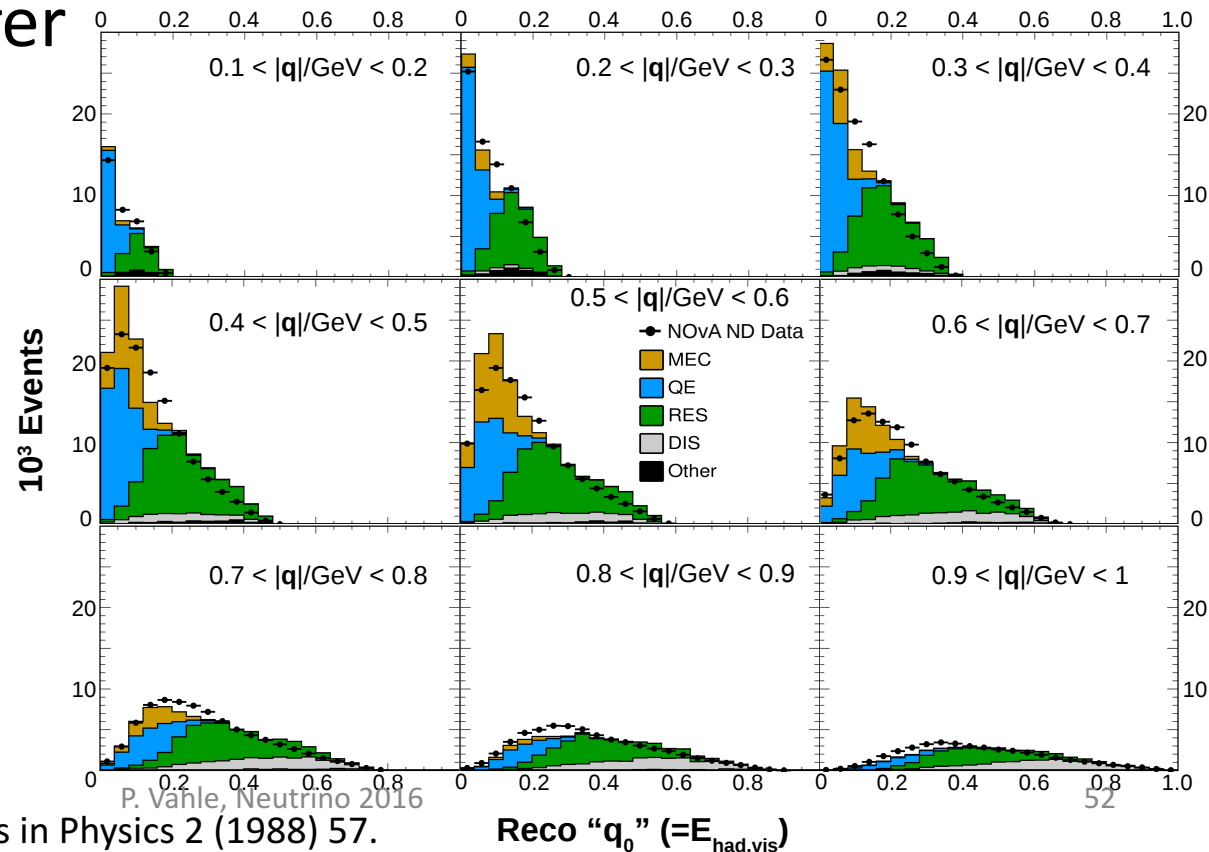
Similar conclusions from MINERvA data reported in P.A. Rodrigues et al., PRL 116 (2016) 071802



Scattering in a Nuclear Environment

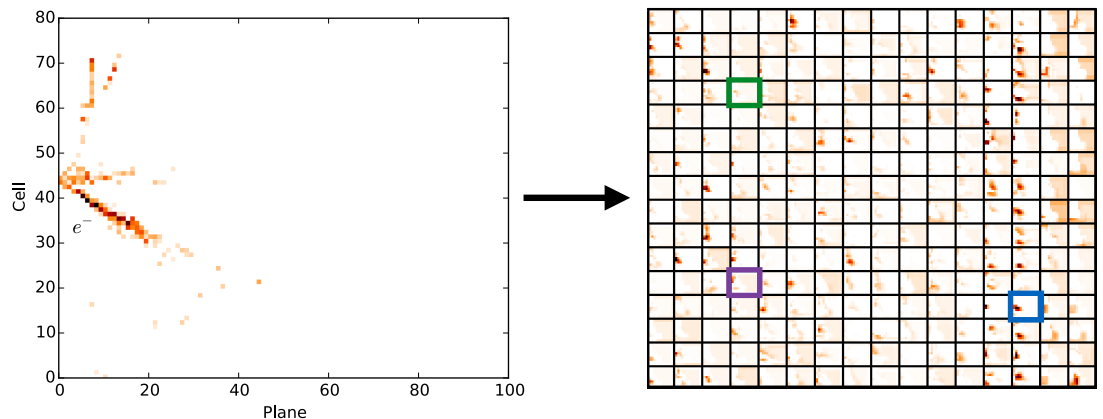
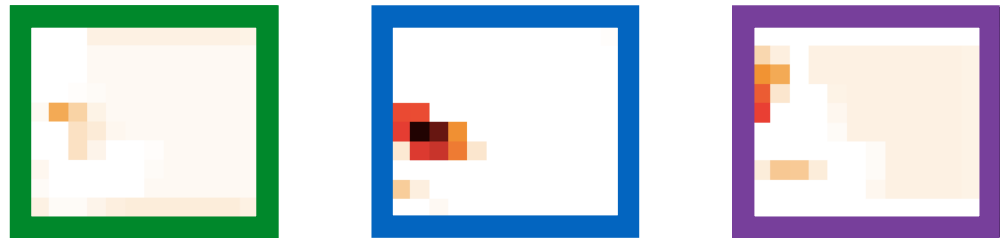
- Enable GENIE empirical Meson Exchange Current Model
- Reweight to match NOvA excess as a function of 3-momentum transfer

- 50% systematic uncertainty on MEC component
- Reduces largest systematics
 - hadronic energy scale
 - QE cross section modeling
- Reduce single non-resonant pion production by 50%
(P.A. Rodrigues et al, arXiv:1601.01888.)



Improved Event Selection

- This analysis features a new event selection technique based on ideas from computer vision and deep learning
 - Calibrated hit maps are inputs to Convolutional Visual Network (CVN)
 - Series of image processing transformations applied to extract abstract features
 - Extracted features used as inputs to a conventional neural network to classify the event



A. Aurisano et al., arXiv:1604.01444

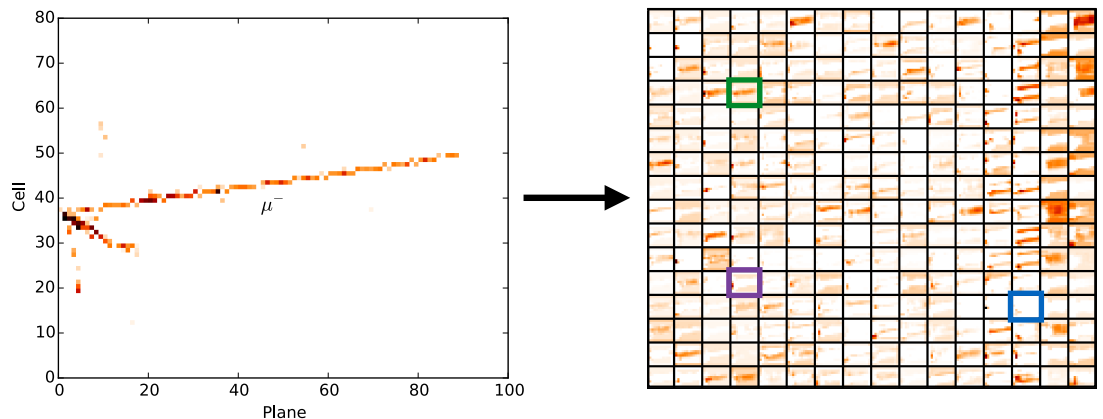
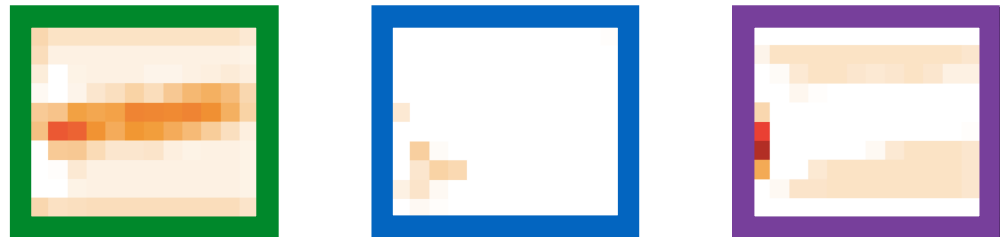
Posters P1.028 by A. Radovic, P1.032 by

F. Psihas and A. Himmel for more detail

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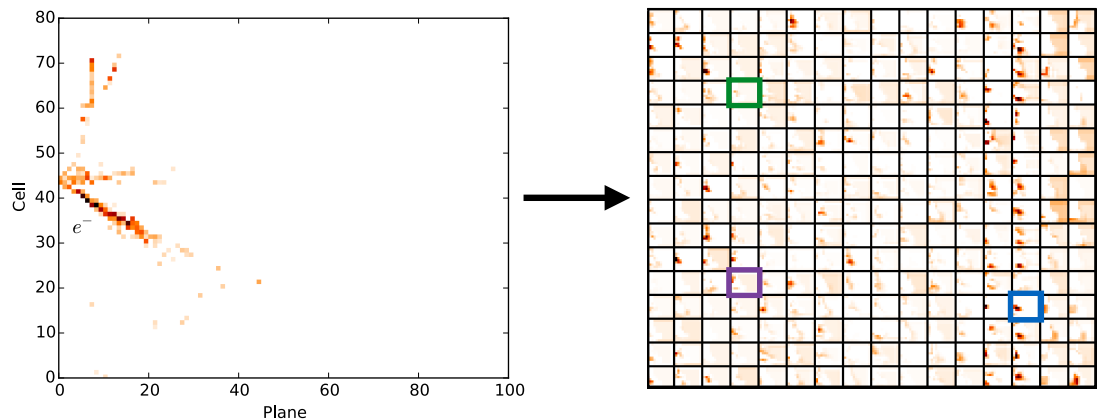
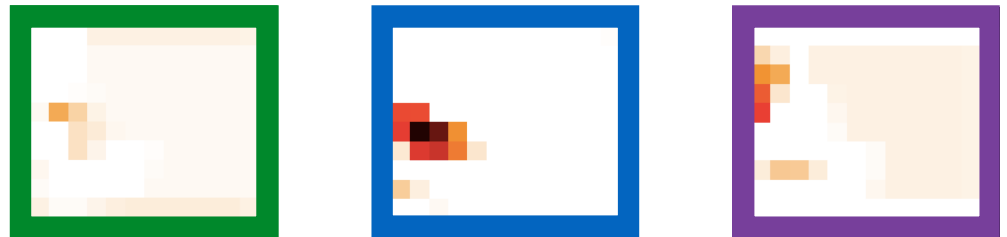
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Improvement in sensitivity from CVN
equivalent to 30% more exposure